Dominant Ninth Harmonies in the 19th Century: A Gallery of Simple Examples Drawn from the Dance and Theater Repertoires

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Abstract:

In European music, freer treatment of the sixth and seventh scale degrees in the major key encouraged the use of independent V9 chords, which appear already early in the nineteenth century, are common by the mid-1830s, and are important to the process by which the hegemony of eighteenth-century compositional, improvisational, and pedagogical practices were broken down. This essay provides multiple examples of the clearest instances of the V9 as a harmony in direct and indirect resolutions.

Table of Contents

Introduction

Part 1: Direct resolution of the V9 harmony
Henry Appy, *Elizabeth Polka* (1853)
W. P. Badger, *Union Polka* (The Pascagoula Melodies, n1) (1853)
Beethoven, 12 deutsche Tänze, WoO8n2, trio (1795)
Brahms, *Liebeslieder*, op. 52n13 (1869)
Brahms, *Liebeslieder,* op. 65n10 (1869-74)
Chopin, Waltz, op. 42 (1840)
Chopin, Waltz, op. 64n1 (1846-47)
Lanner, *Flora Walzer*, op.33 (1829 or 1830)
Lanner, *Redout Carneval Tänze*, op.42 (1830)
Lanner, *Alpen-Rosen Walzer*, op. 162 (1842)
Lanner, *Die Romantiker Walzer*, op. 167 (1842)
Offenbach, *Orphée aux Enfers*, Finale (1858)
Pechacek, 12 Laendler, n1 (1801)
Schubert, Original-Tänze, D365n30 (1821)
Schubert, Laendler, D366n17 (post.)
Schubert, *Wiener-Damen Laendler*, D734n5 (1826)
Schubert, *Wiener-Damen Laendler*, D734n16
Schubert, *Valses sentimentales*, D779n2 (1825)
Schubert, *Valses sentimentales*, D779n17
Schubert, *Valses sentimentales*, D779n20
Schubert, Deutsche Tänze, D783n2 (1823-24)
Schubert, Laendler, D790n12 (1823)
William Schubert, arr., *Baden Baden Polka* (Three Favorite Polkas, n3) (1845)
Johann Strauss, jr., *Die jungen Wiener Walzer*, op. 7 (1845?)
Johann Strauss, jr., *Jugend-Träume Walzer*, op. 12 (1845)
Johann Strauss, jr., *Hopser Polka,* op. 28 (1846?)
Johann Strauss, jr., *Champêtre*, polka-mazurka, op. 239 (1860)
Johann Strauss, jr., *Hesperus polka*, op. 249 (1861)
Johann Strauss, jr., *An der schönen blauen Donau*, op. 314
Johann Strauss, jr., *Geschichten aus dem Wiener-Wald*, op. 325
Johann Strauss, jr., Polka 'Auf freiem Fusse," op. 345 (1871?)
Johann Strauss, jr., *Die Fledermaus* n5, Act I Finale,
"Herr, was dächten Sie von mir" (1874)
Johann Strauss, sr., *Die Adepten*, op. 216 (1848)
Johann Strauss, sr., *Wiener Kreuzer Polka*, op. 220 (1848)
Johann Strauss, sr., *Damen Souvenir Polka*, op. 236 (1848)
Johann Strauss, sr., *Exeter Polka*, op. 249 (1849)

Wagner, Tannhäuser, Prelude to Act II (1845; 1860-61)
Waldteufel, *Myosotis*, op. 101n3 (c. 1865)

Part 2: Indirect resolution of the V9 harmony
Allen Dodworth, *Very Best Polka* (1850)
Lanner, *Redout Carneval Tänze*, op.42 (1830)
Schubert, Original-Tänze, D365n1 (1821)
Schubert, Original-Tänze, D365n13
William Schubert, arr., *Charlotte Grist Polka* (Three Favorite Polkas, n1) (1845)
Johann Strauss, jr., *Jux Polka,* op. 17 (1845?)
Johann Strauss, jr., *Fidelen Polka*, op. 26 (1846?)
Johann Strauss, jr., *Demolirer Polka*, op. 269.
Johann Strauss, sr., "Heiter auch in ernster Zeit," op48n1 (1832)
Johann Strauss, sr., "Heiter auch in ernster Zeit," op48n2 (1832)
Johann Strauss, sr., *Rosa Walzer*, op. 76n4 (c. 1834)
Johann Strauss, sr., *Rosen-Blätter*, op. 115n1 (1840)
Johann Strauss, sr., *Die Schwalben*, op. 208n3 (1847)
Johann Strauss, sr., *Damen Souvenir Polka*, op. 236 (1848)
Johann Strauss, sr., *Frederika Polka*, op. 239 (1848)
Emile Waldteufel, *Toujours ou Jamais*, op. 156n3 (1877)

Part 3: Ascending figures from the ninth of the V9 harmony
Allen Dodworth, arr., *Princess Helena's Polka* (1847)
Johann Strauss, jr., *Fidelen Polka*, op. 26 (1846?)
Johann Strauss, jr., *Künstlerleben*, op. 316n3 (1867)
Johann Strauss, sr., *Josephstädter-Tänze*, op. 23 (1829)
Johann Strauss, sr., *Rosa Walzer*, op. 76n5 (c. 1834)

Part 4: The dominant seventh, ninth, eleventh, and thirteenth

Introduction

In my essay Scale Degree ^6 in the 19th Century: Ländler and Waltzes from Schubert to Herbert (2016), I described and provided examples for categories identified by Jeremy Day-O'Connell as treatments of scale degree 6 in the major key in the nineteenth century. There is no question that ^6 is the focus of changes, especially in the first half of the century. As Day-O'Connell describes the evolution away from classical practice, ^6 was routinely treated as an appoggiatura or suspension, resolving to ^5:

> [Scale degree] ^6 became a veritable hallmark of the salon and ballroom styles; waltzes of Chopin and Strauss are peppered with these characteristic appoggiaturas on ^6 (over both I and V7), no doubt harking back to the spirit of folk-dance and the world of Schubert's Ländler—but an eventual resolution to ^5 does occur. (45)

On occasion the appoggiatura was "accidentally" resolved directly over another chord or was held so long that the resolution either didn't occur at all or was pretty much irelevant, musically and expressively: "Nineteenth-century composers' seeming infatuation with ^6 [powered] the evolution from ^6–^5 appoggiaturas to the use of additive harmony" (46).[1]

. . . and, I will add, to the independent V9 harmony. This essay offers a set of the clearest, most straightforward examples of the V9 as a harmony, that is, as a member of a progression, not a vertical sonority explained by other means or even an accident of melodic shapes.[2] The examples are drawn from the repertoires of music for dance (including related recital and domestic musics) and for the theater, these repertoires being the richest in all manner of treatments of pitches in the upper tetrachord of the major key.

The essay has four parts, the principal sections being the first two: direct resolutions in Part 1, indirect resolutions in Part 2. Ordering is alphabetical by composer or arranger, not chronological by composition or publication date, because once the figures associated with the dominant ninth, as chord or as harmony, were established, the practice remained consistent through about 1890, when the most dramatic changes occurred in many aspects of music-compositional practice.

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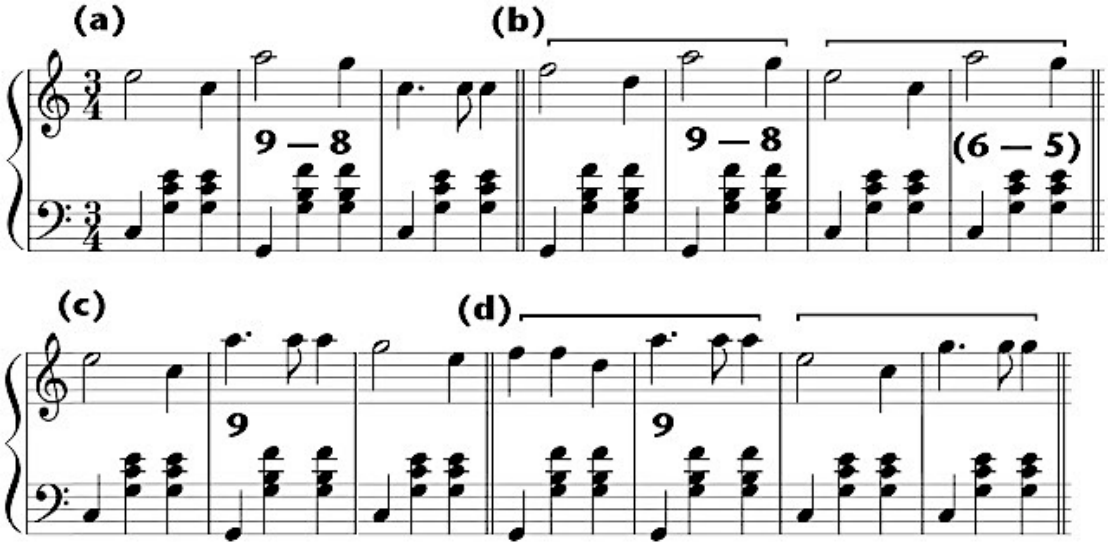
[1] In this paragraph I have quoted material from *Scale Degree ^6 in the 19th Century*. Note also that I cite Day-O'Connell's article ("The Rise of ^6 in the Nineteenth Century," *Music Theory Spectrum* 24/1 [2002]: 35-67) rather than chapter 1 of his book, *Pentatonicism from the Eighteenth Century to Debussy* (Rochester, NY: University of Rochester Press, 2007).

[2] See also my blog *On the Dominant Ninth Chord* (link) .

I distinguish between direct and indirect resolutions of the V9 harmony. At (a) below, a melody is shown with the typical early nineteenth-century Laendler accompaniment. At (b) is the commonplace figure where a two-bar idea over the dominant is repeated (and slightly adjusted) over the tonic. The same notes, A5-G5, are 9-8 over the dominant bass, then 6-5 over the tonic bass. At (c) is what I call a *direct resolution*, where the ninth (A5) moves to the tonic's fifth (G5) without an intervening note. At (d), is an *indirect resolution*, or what I call informally an "almost direct resolution," where the repetition of the two-bar idea sets up a pattern such that F5 in bar 1 can be heard to resolve to E5 in bar 3 and A5 in bar 2 to G5 in bar 4.

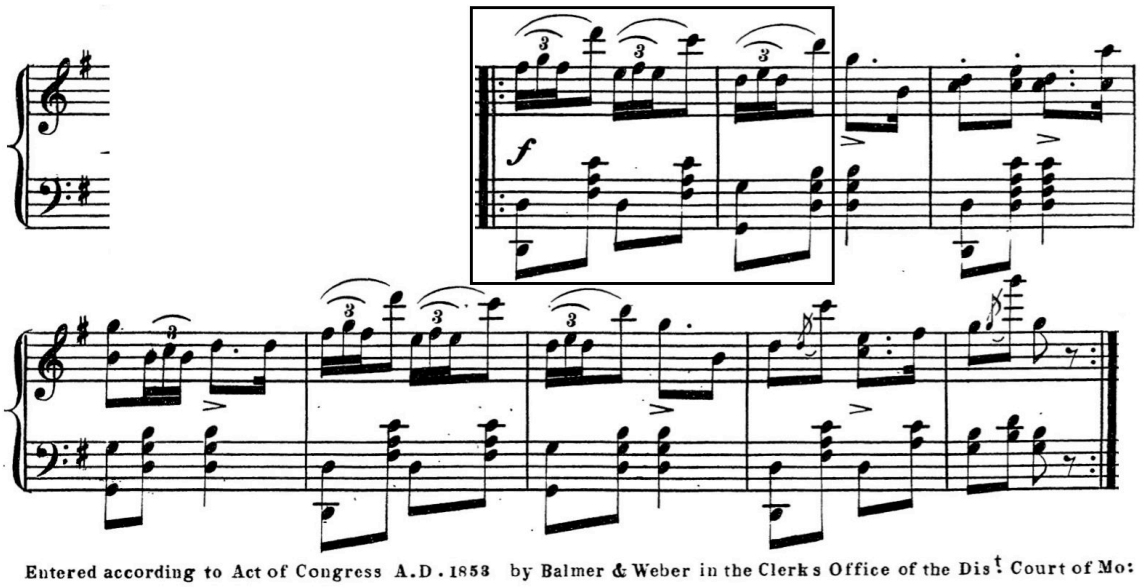


Parts 3 and 4 of the essay are in the nature of appendices. Part 3 offers a few samples of the less common ascending resolution of the ninth in a V9 harmony. Such figures may be found especially in music for dance (or performance music based on dance genres) and in theatrical music. I also provide links to essays in which I explore and document the phenomenon extensively. Part 4 is mainly theoretical, though with historical grounding: in it I discuss the chords often called "extended tertian chords." I show that this is not a homogeneous group, either in terms of the chords' origins or their uses.

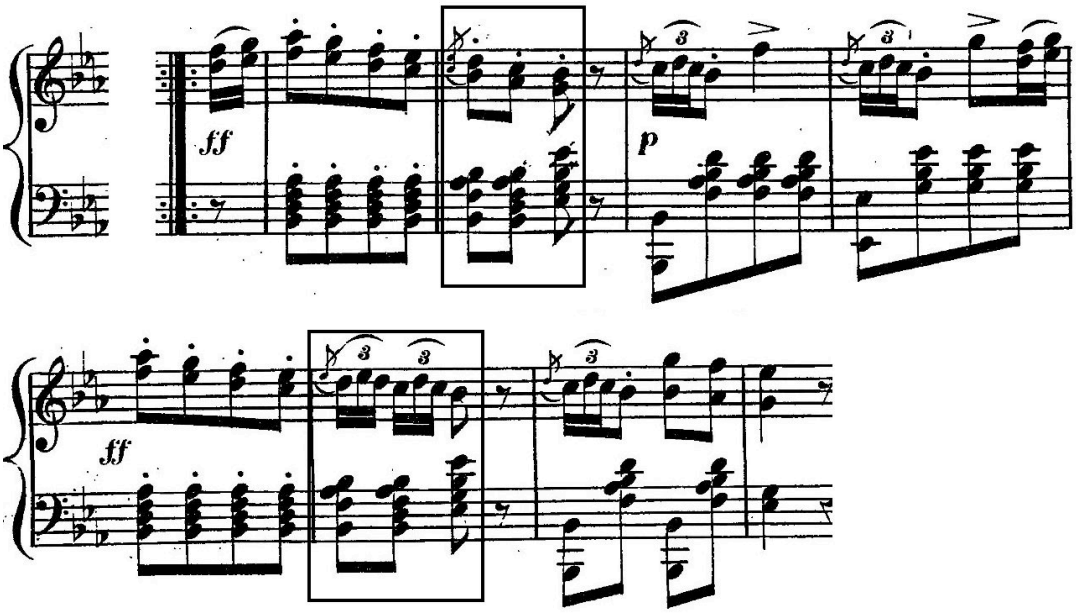
Part 1: Direct resolution of the V9 harmony

Note: In Parts 1 & 2, I have only rarely included text annotations. Score excerpts are marked with arrows, boxes, or circles to identify relevant figures.

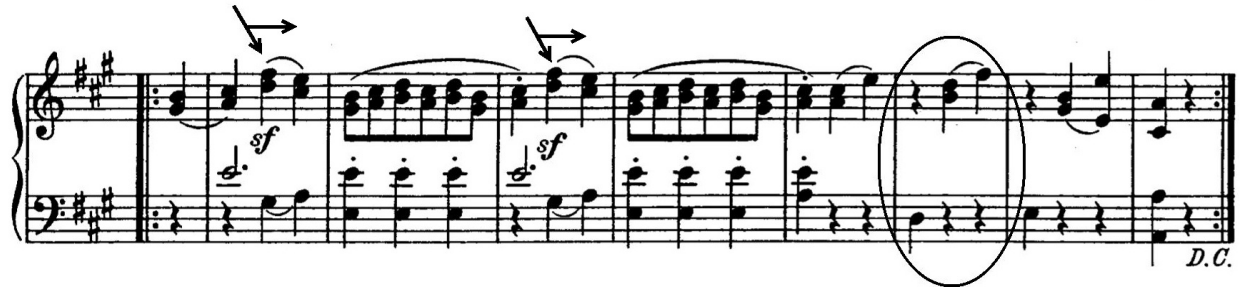
Henry Appy, *Elizabeth Polka* (1853)



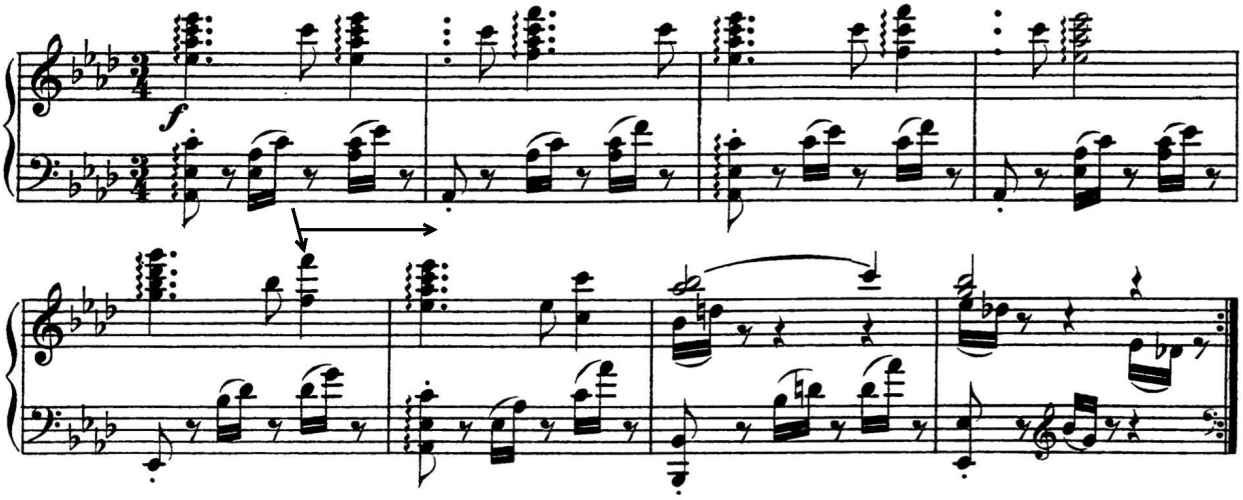
W. P. Badger, *Union Polka* (*The Pascagoula Melodies*, n1) (1853)



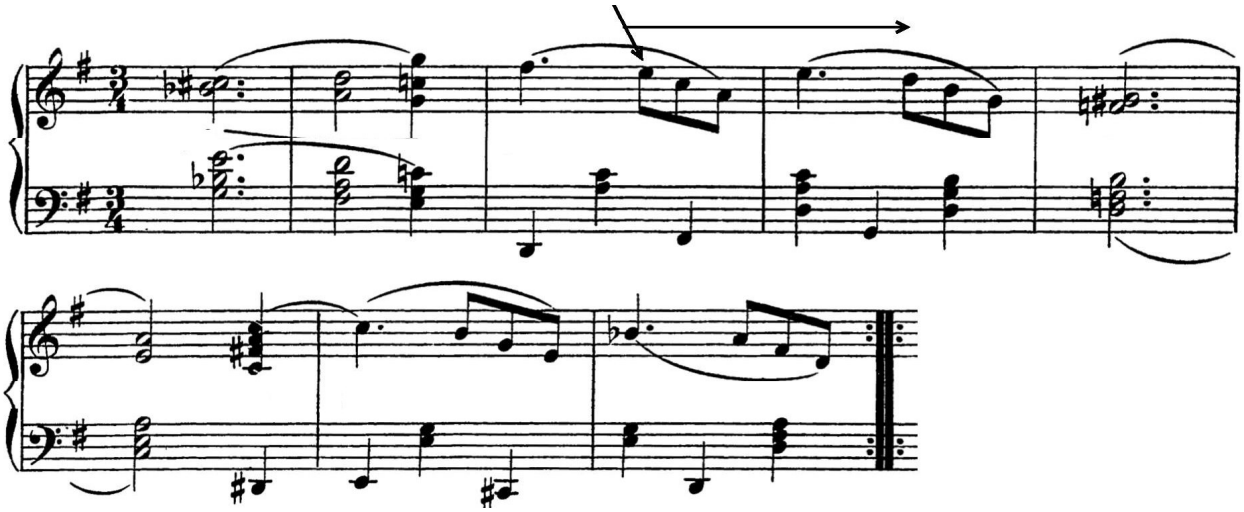
Beethoven, 12 deutsche Tänze, WoO8n2, trio (1795)



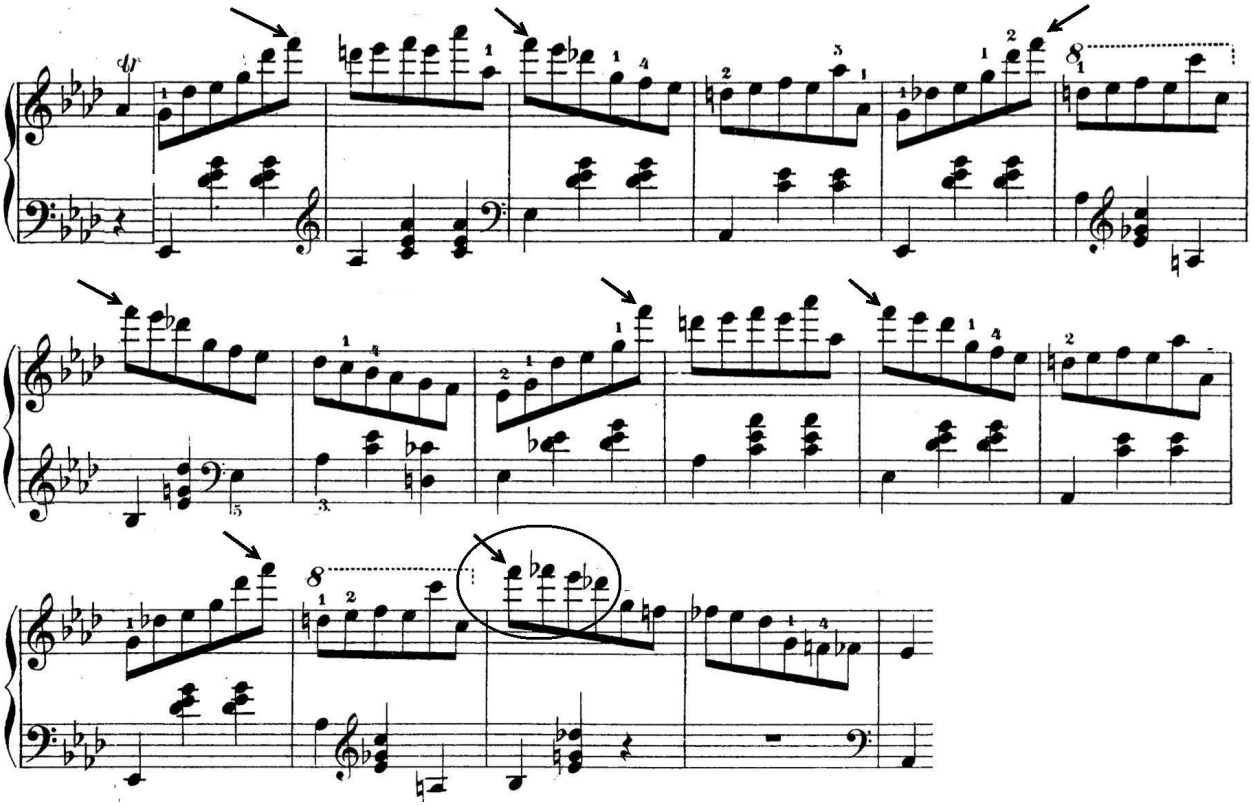
Brahms, *Liebeslieder*, op. 52n13 (1869)



Brahms, *Liebeslieder,* op. 65n10 (1869-74)

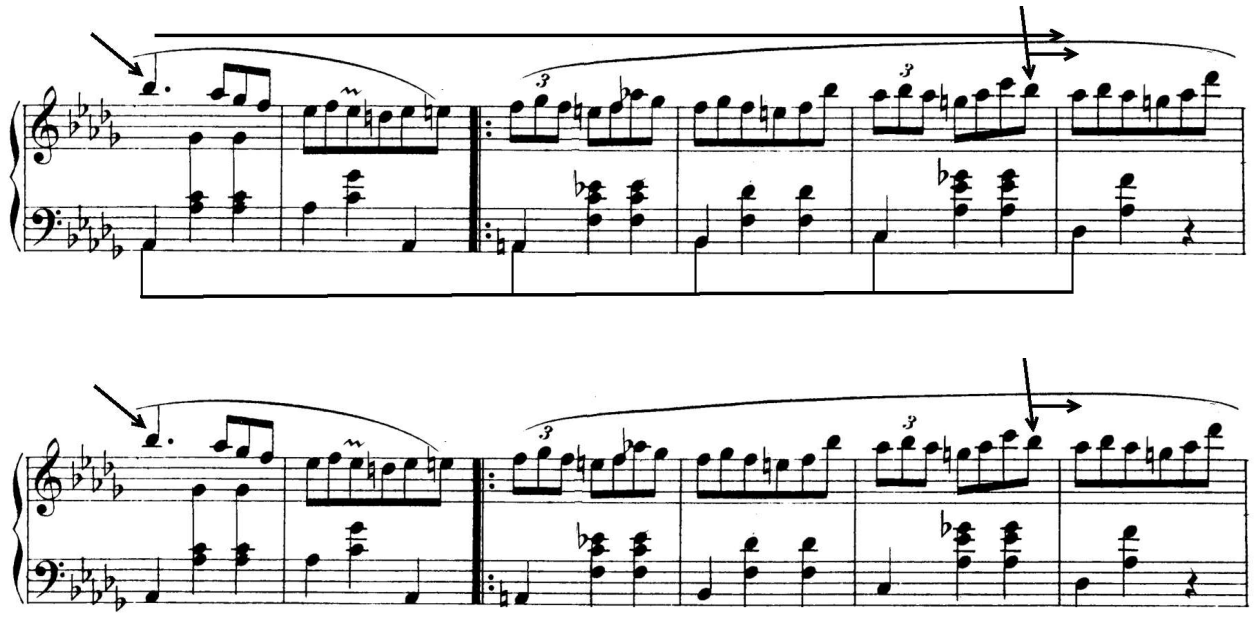


Chopin, Waltz, op. 42 (1840)

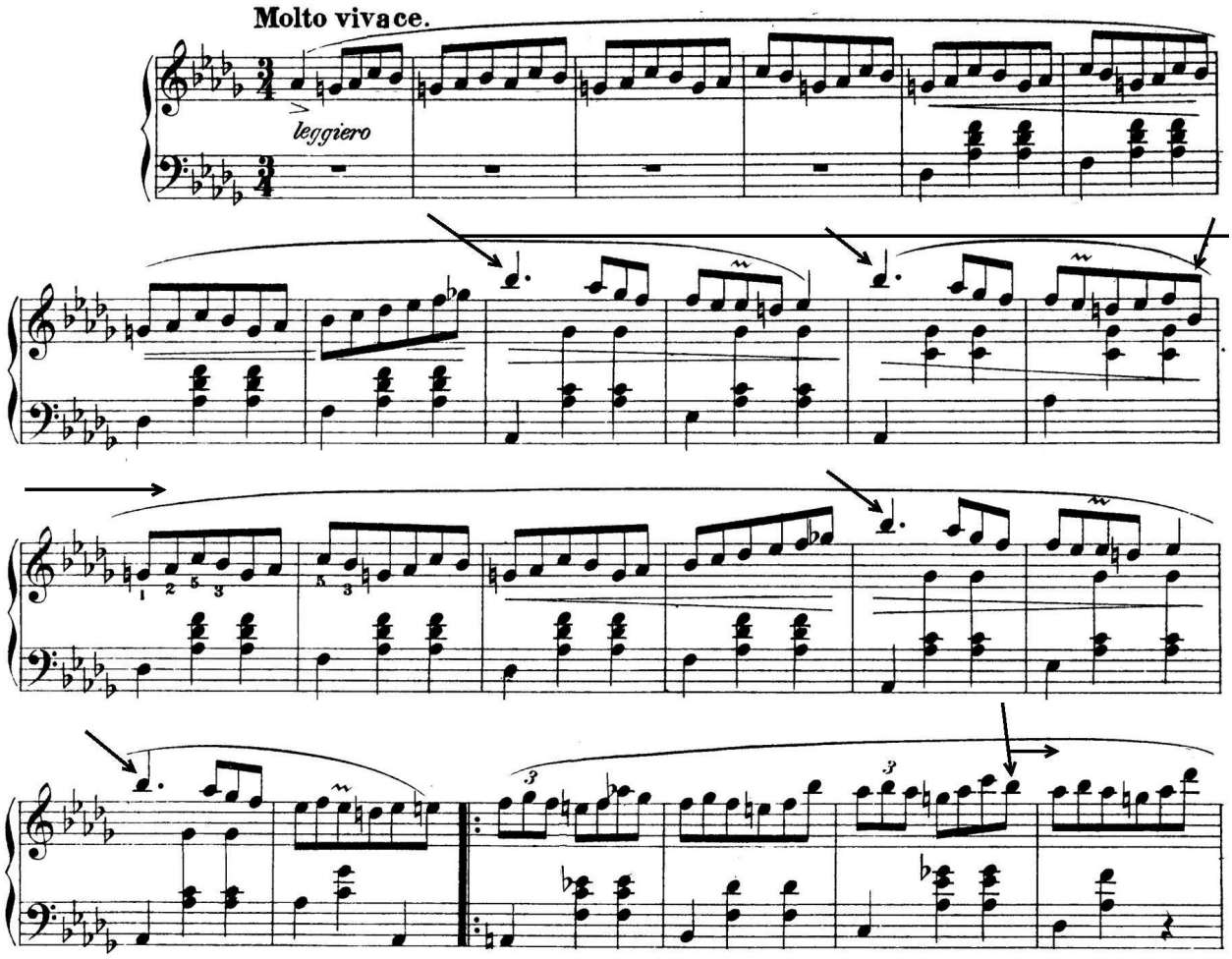


Chopin, Waltz, op. 64n1 (1846-47)

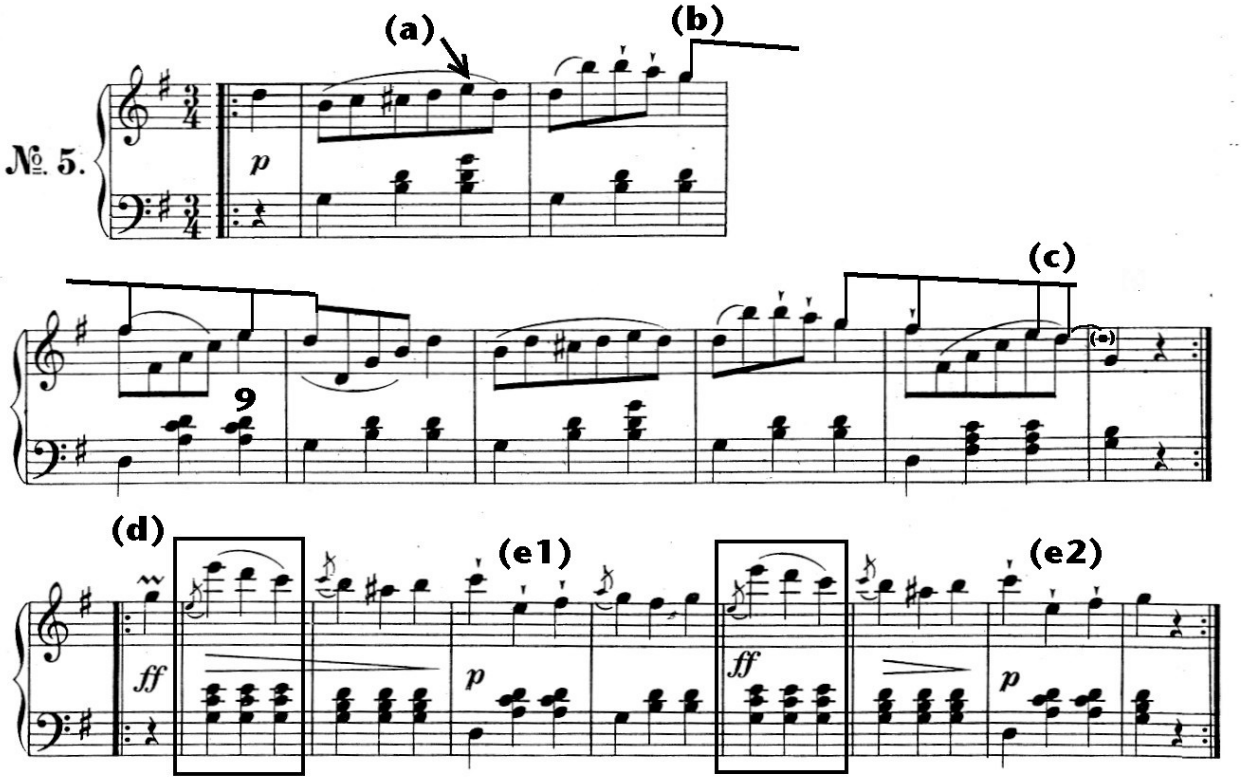
(a) & (b) motivic ^6 and a direct resolution in the beginning bars of the second strain.



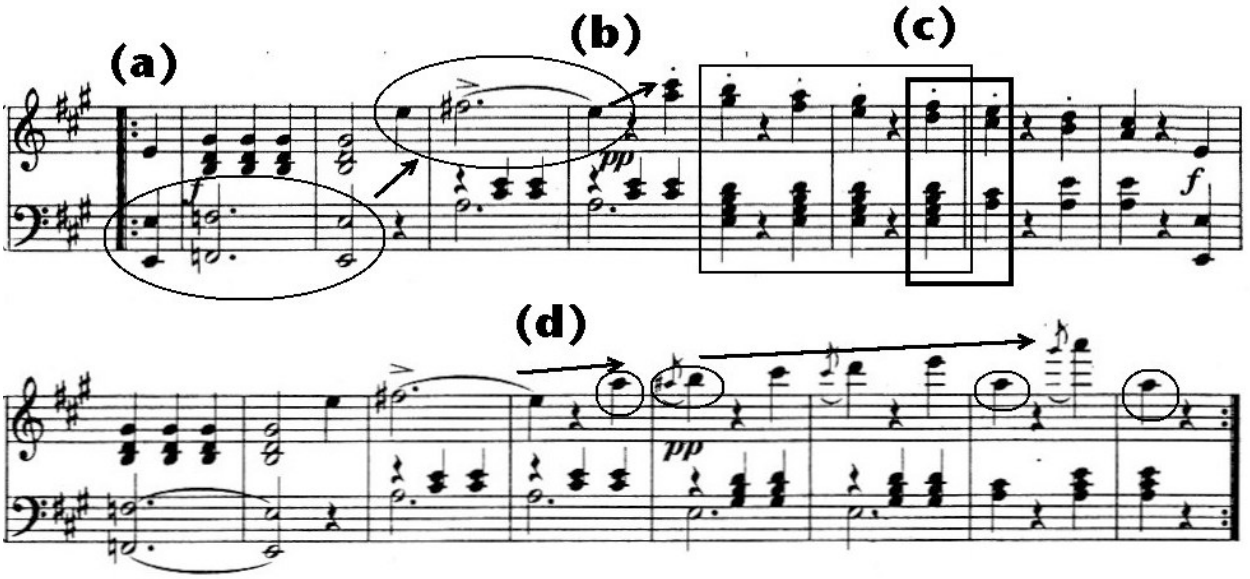
Score for the opening and the beginning of the second strain. Several instances of the motivic ^6 resolving immediately within the V7 chord; direct resolution in the second strain.



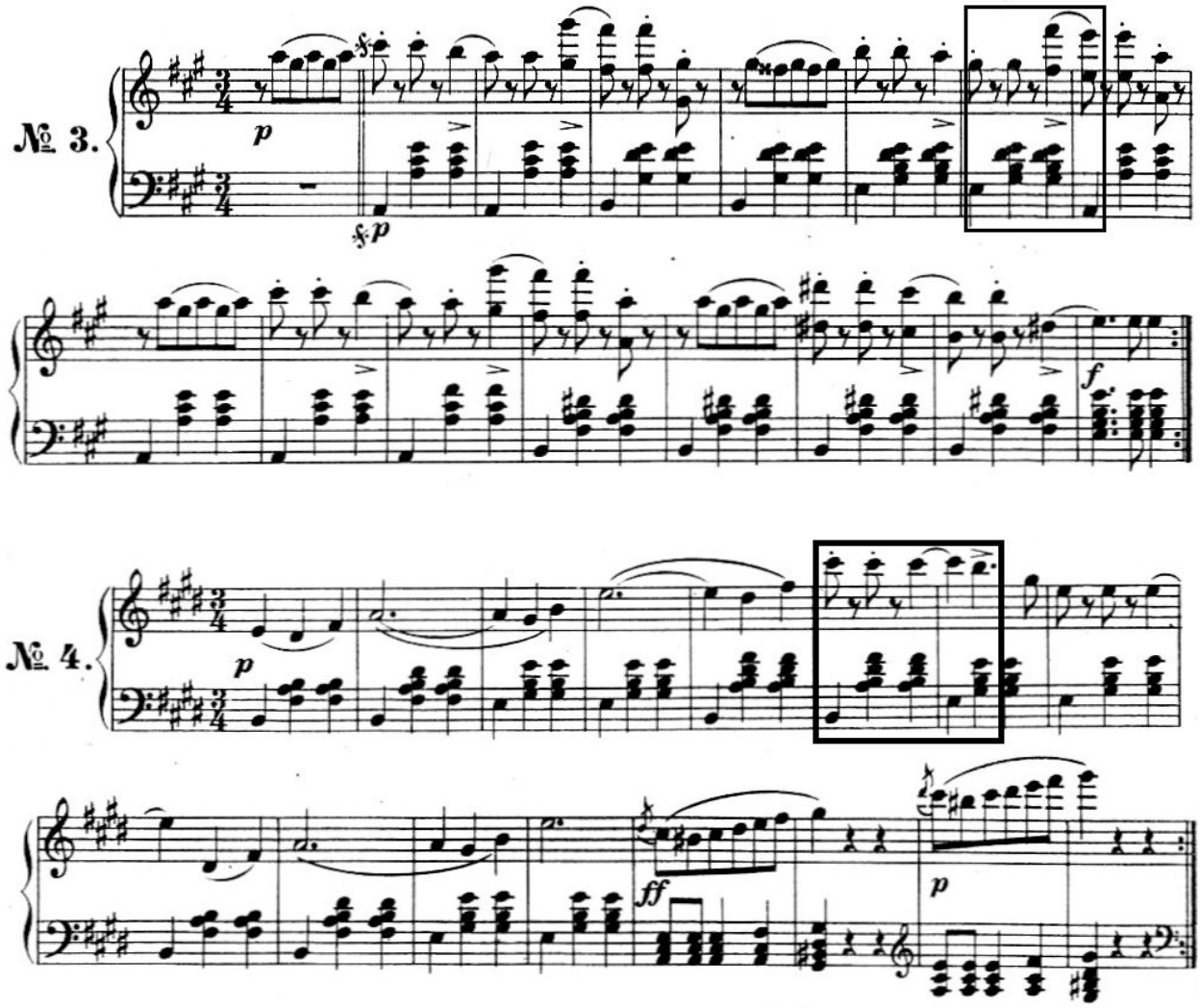
Josef Lanner, *Flora Walzer*, op. 33 (1829 or 1830)



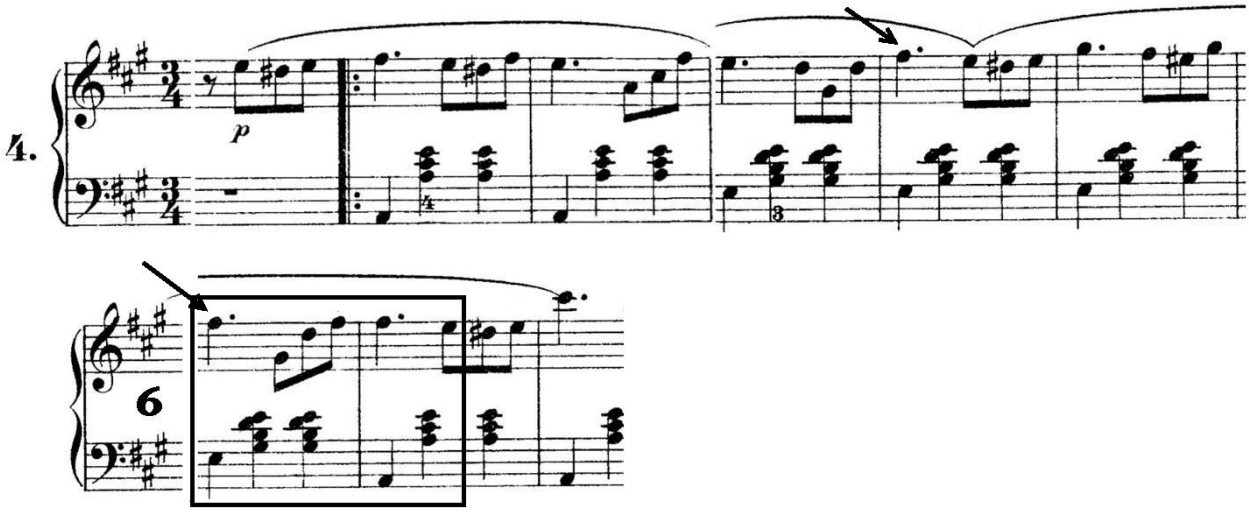
Josef Lanner, *Redout Carneval Tänze*, op. 42 (1830)



Lanner, *Alpen-Rosen Walzer*, op. 162 (1842)



Lanner, *Die Romantiker Walzer*, op. 167 (1842)

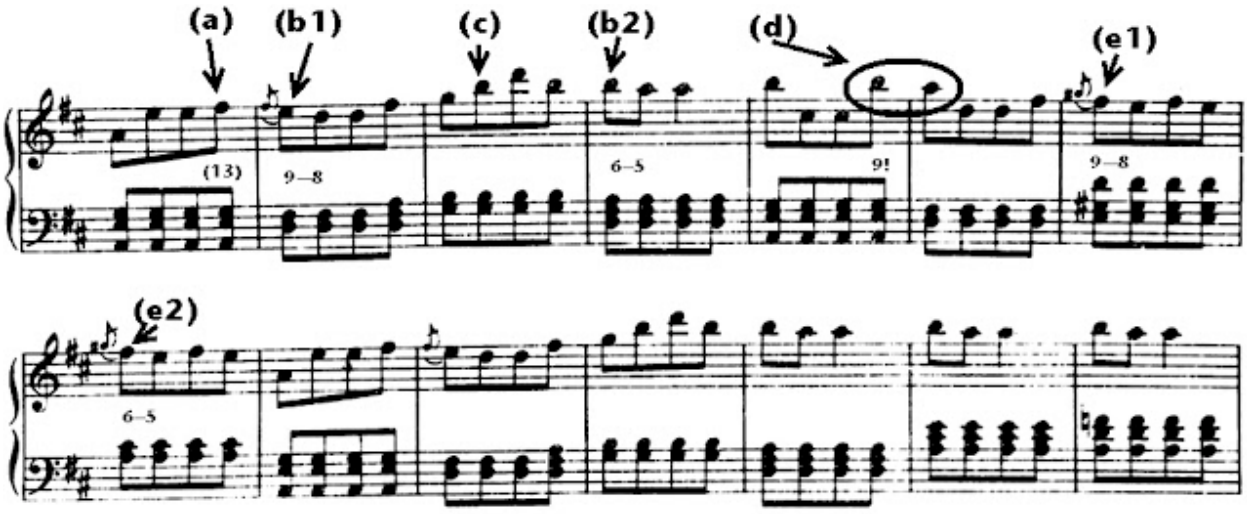


Offenbach, *Orphée aux Enfers*, Finale (1858)

From a blog post,3 June 2016 (link): Offenbach's "catalogue" of melodic figures

In correspondence, Jeremy Day-O'Connell asked what I thought of the V9 chord in the theme of the famous can-can (*Galop infernale*) from Offenbach's *Orpheus in the Underworld* (*Orphée aux Enfers* [first production 1858]). I took a look and found that, within a few seconds, that great genius of satirical operetta (*opéra bouffe*) packed in hints or realizations of many of the century's characteristic melodic treatments of scale degrees ^2 and ^6.

Here they are:



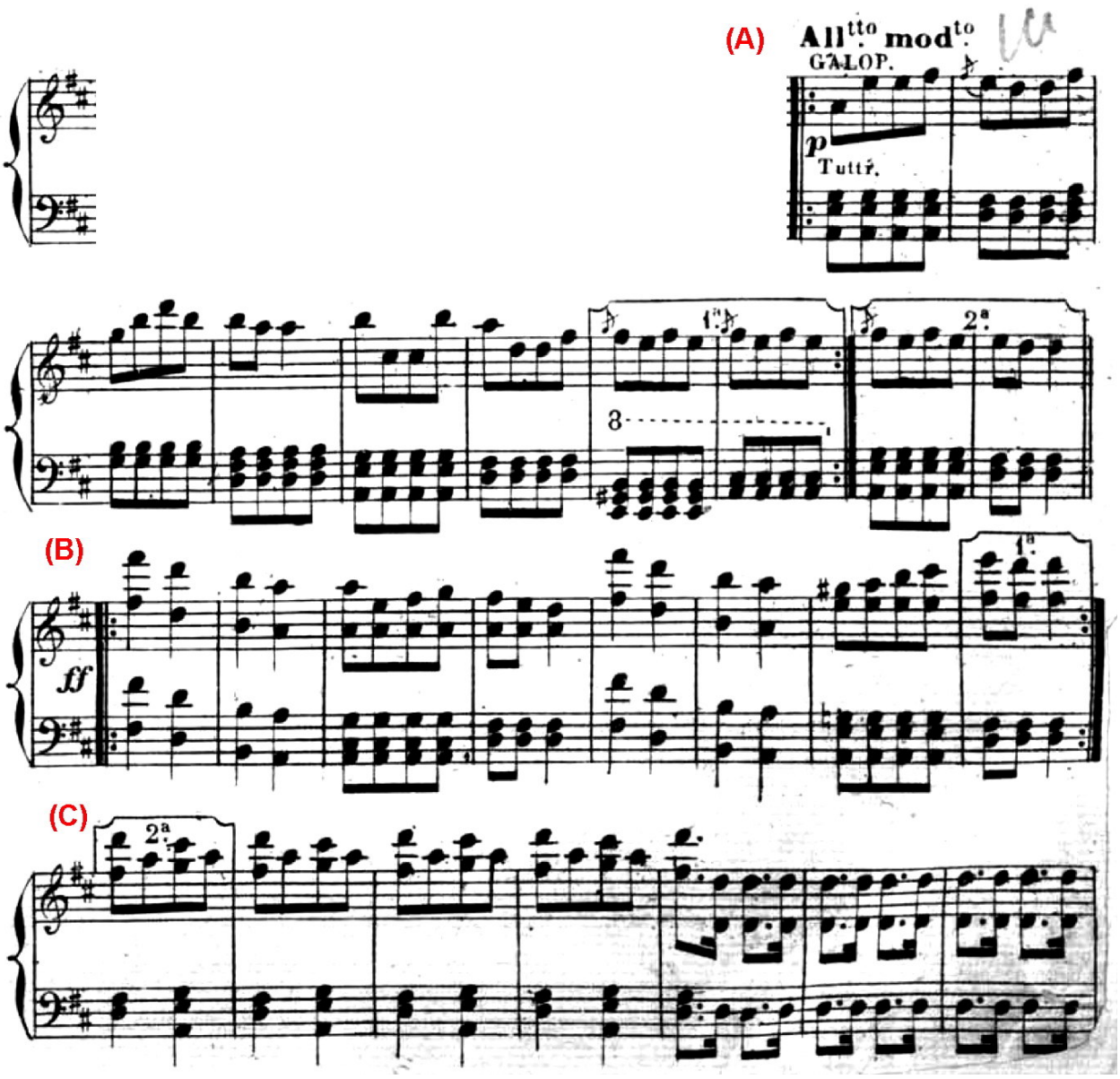
At (a), a hint of what became the V13 chord. At (b1), ^2 colors the tonic with a major second (as 9 in 9-8).

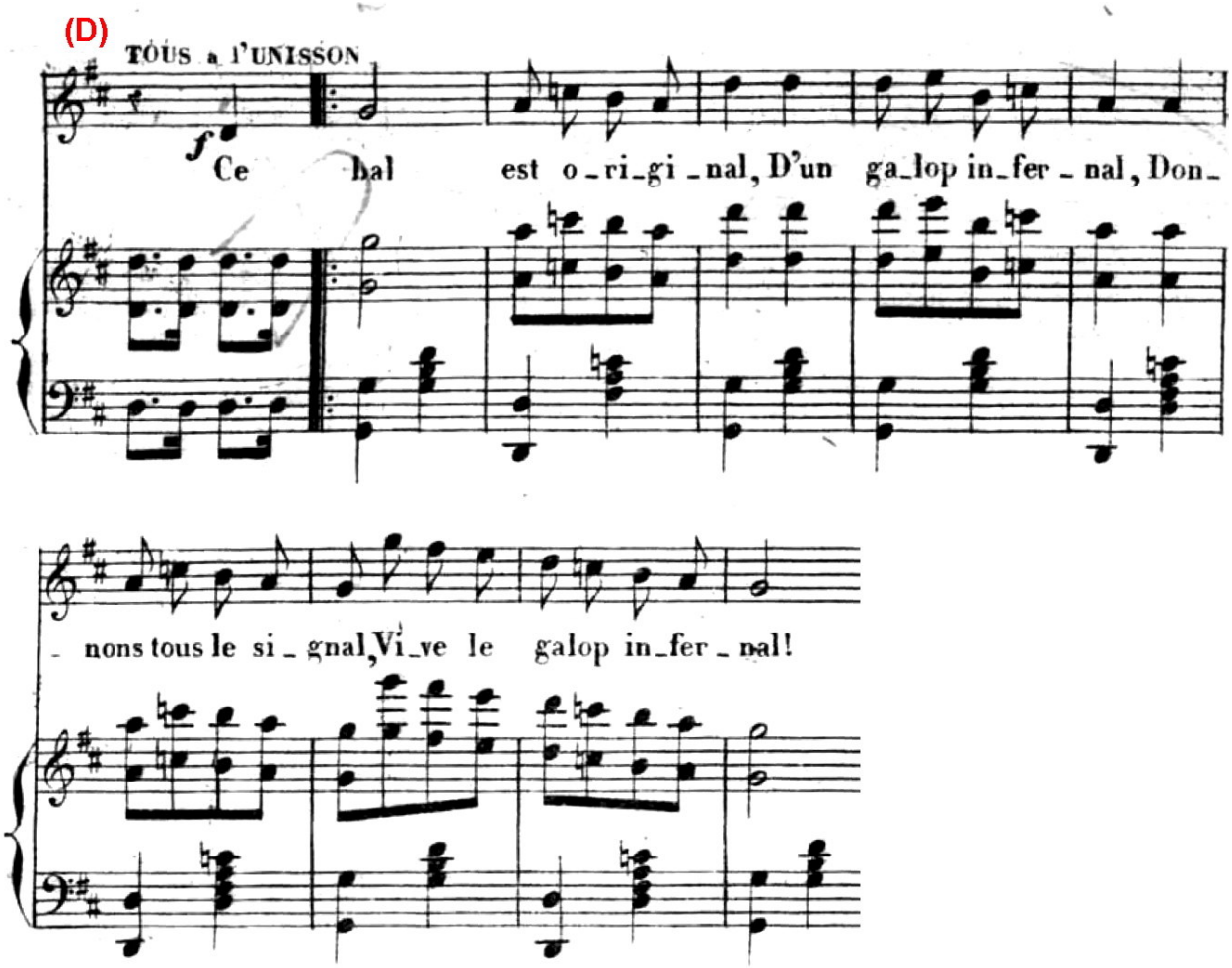
At (b2), ^6 colors the tonic triad, a hint of what shortly would become the Iadd6 chord.

At (c), ^6 in its classical position as third of the subdominant triad.

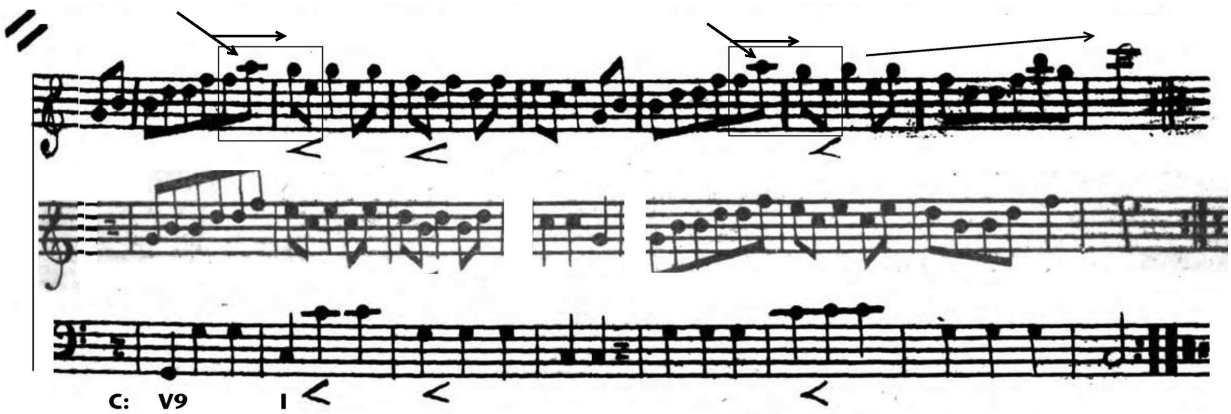
At (d), a true dominant ninth chord. At (e1) and (e2), the alternation of 9-8 and 6-5 over tonic and dominant, a figure that is a cliché in the early waltz repertoire.

To establish at least a minimal context, I have reproduced the reduced score below. At (A) is the first strain, as above. At (B) is the second strain, at (c) the third, and at (D) the first vocal strain, probably the most familiar of them all.

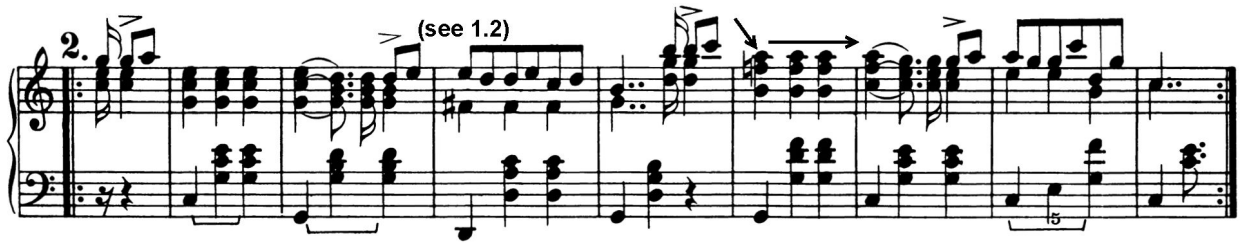

(A)
All.tto mod.to
GALOP.
p
Tutti.
1.a
2.a
3
(B)
ff
1.a
(C)
2.a



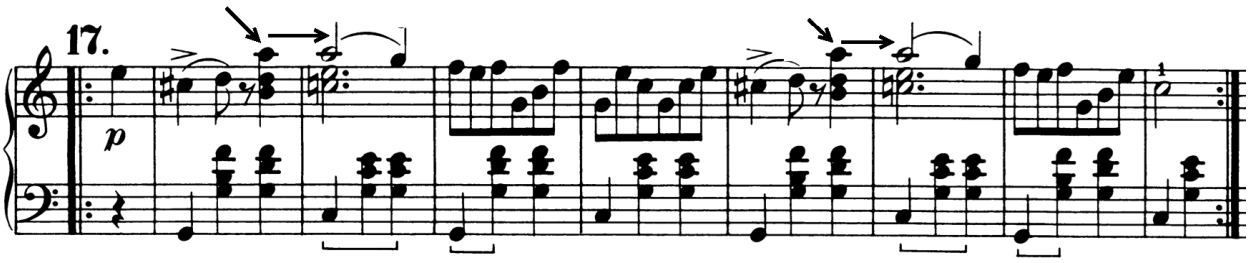
Pechacek, 12 Laendler, n1 (1801)



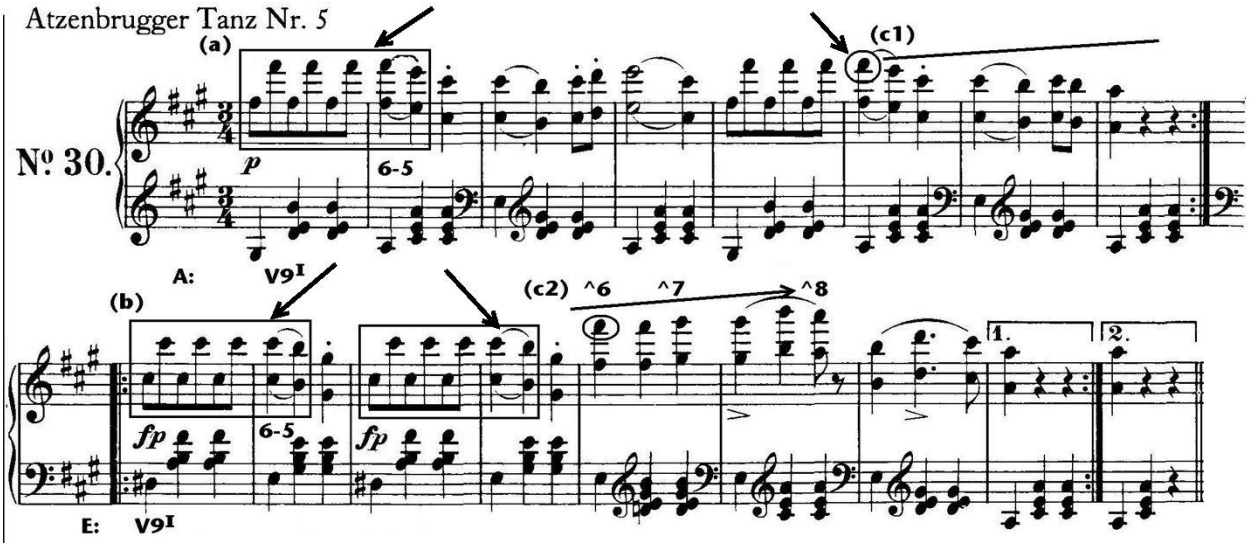
Schubert, *Valses sentimentales*, D779n2 (1825)



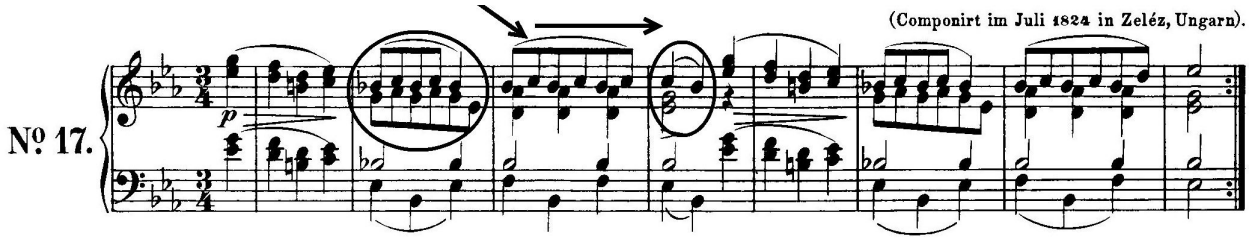
Schubert, *Valses sentimentales*, D779n17



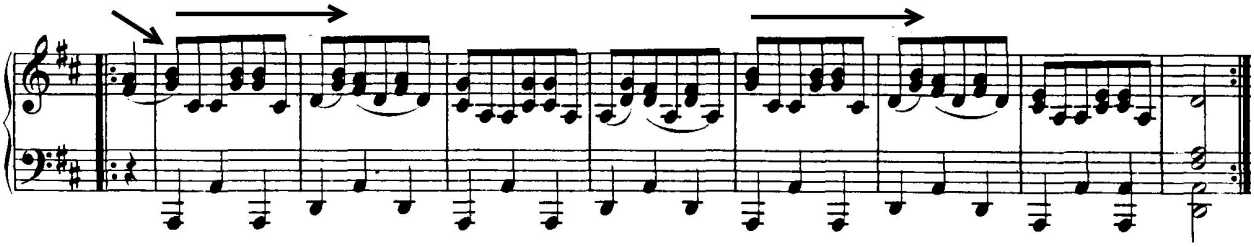
Schubert, Original-Tänze, D365n30 (1821)



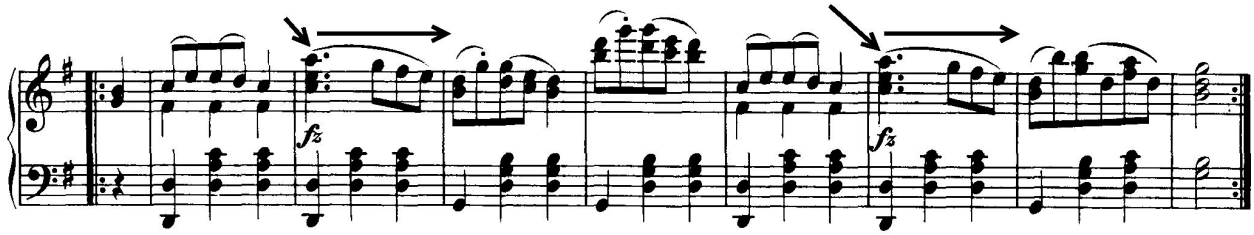
Schubert, Laendler, D366n17



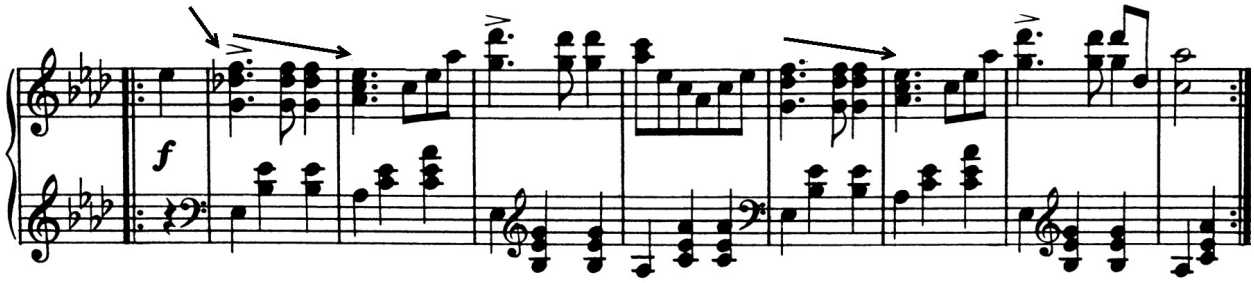
Schubert, *Wiener-Damen Laendler*, D734n5 (1826)



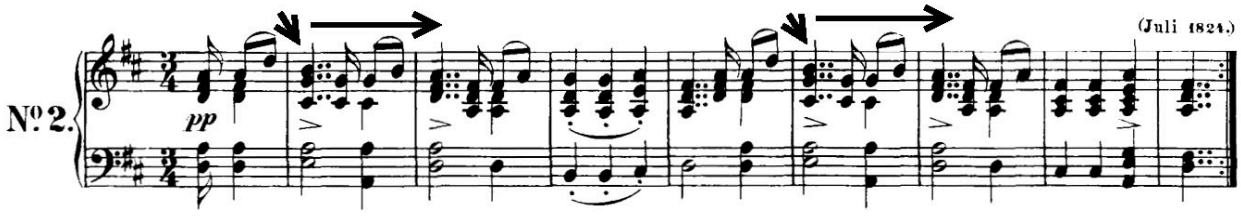
Schubert, *Wiener-Damen Laendler*, D734n16



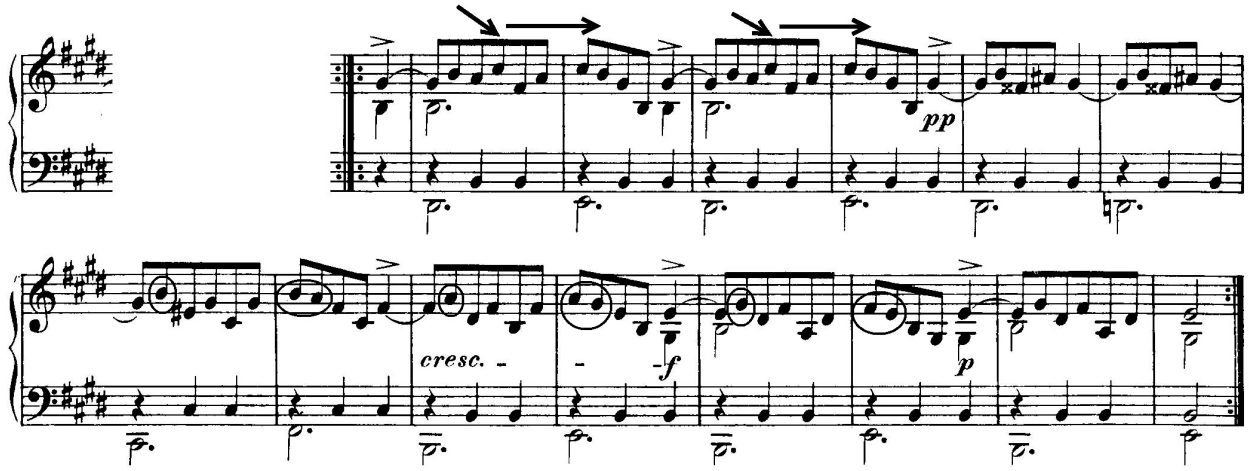
Schubert, *Valses sentimentales*, D779n20



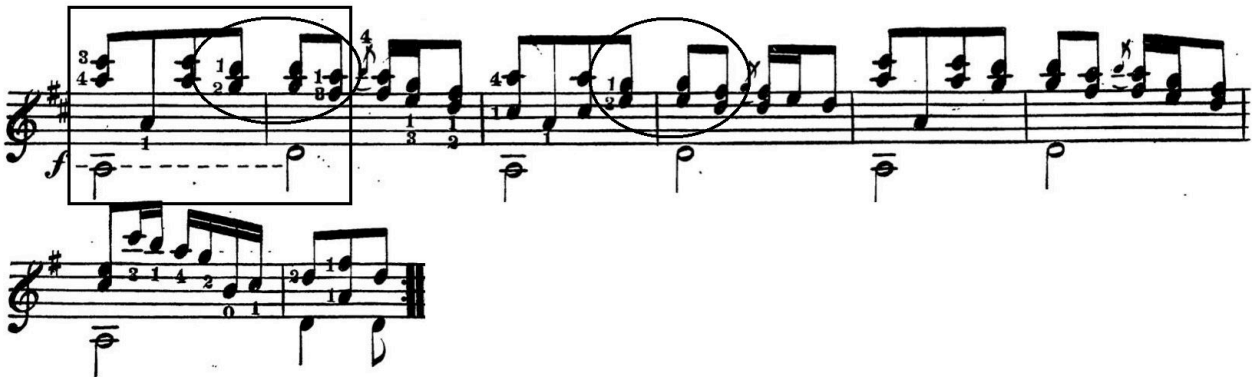
Schubert, Deutsche Tänze, D783n2 (1823-24)



Schubert, Laendler, D790n12 (1823)

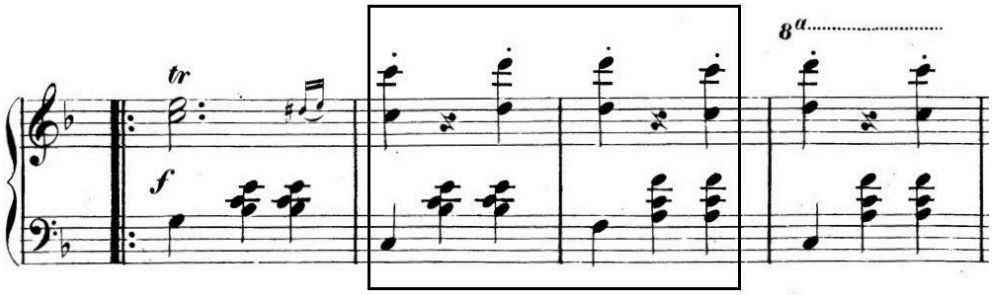


William Schubert, arr., *Baden Baden Polka* (Three Favorite Polkas, n3) (1845)

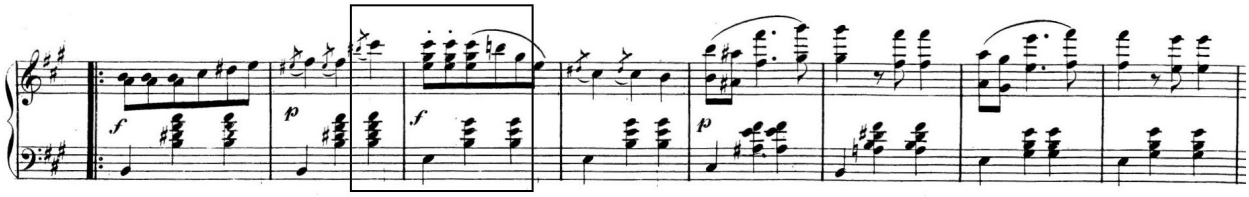


Johann Strauss, jr., *Die jungen Wiener Walzer*, op. 7 (1845?)

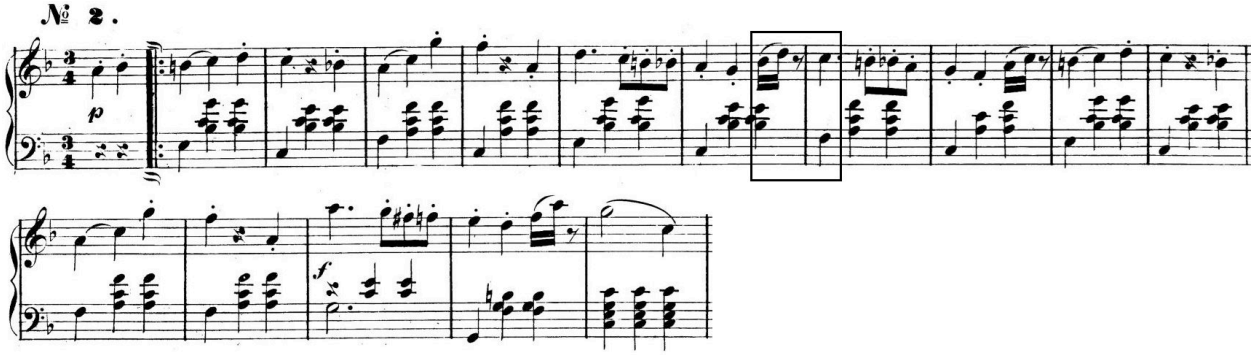
n1, second strain:



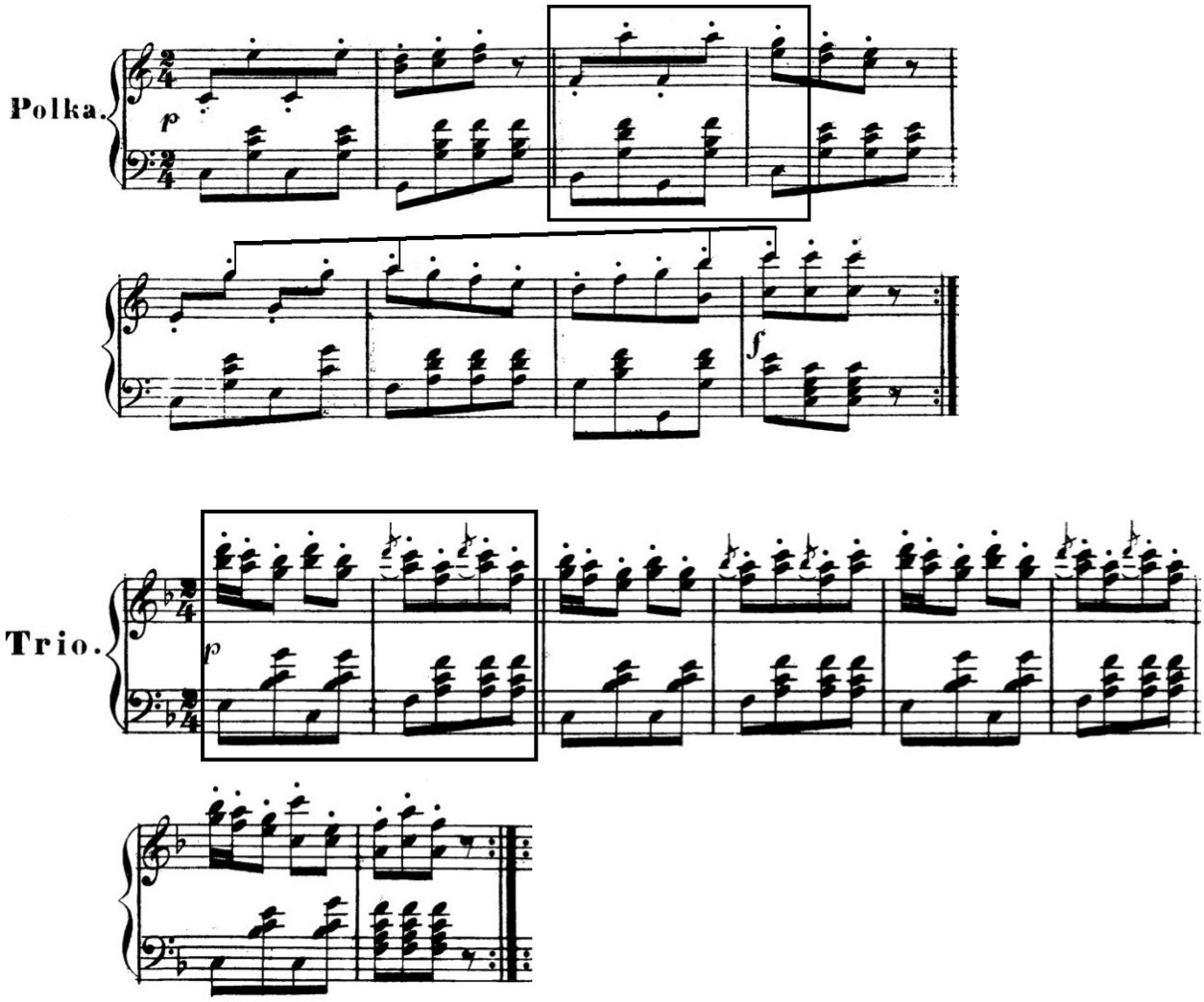
n2, second strain:



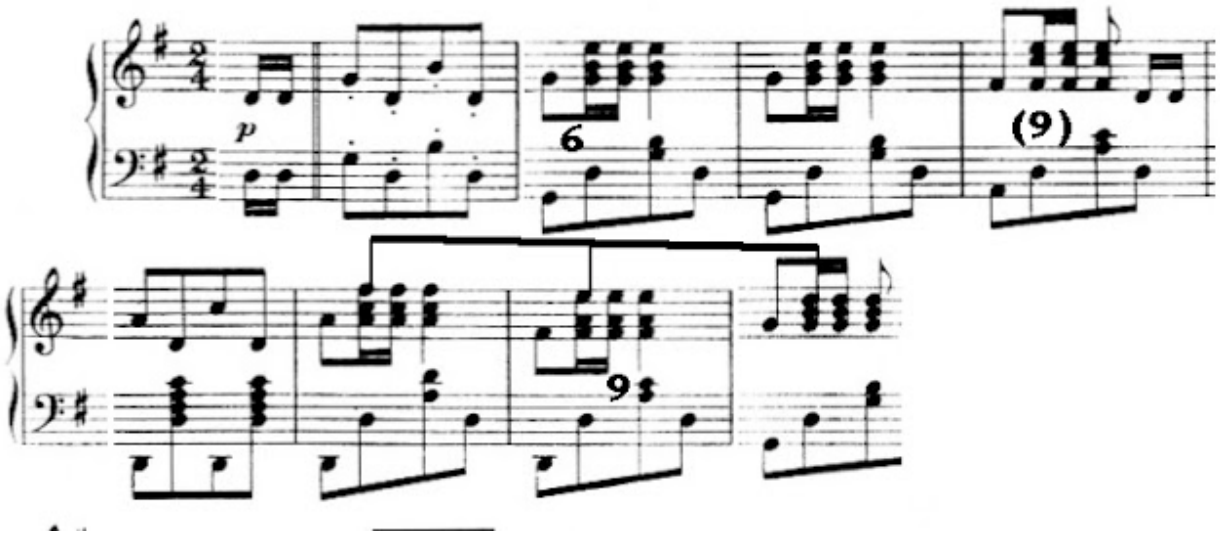
Johann Strauss, jr., *Jugend-Träume Walzer*, op. 12 (1845)



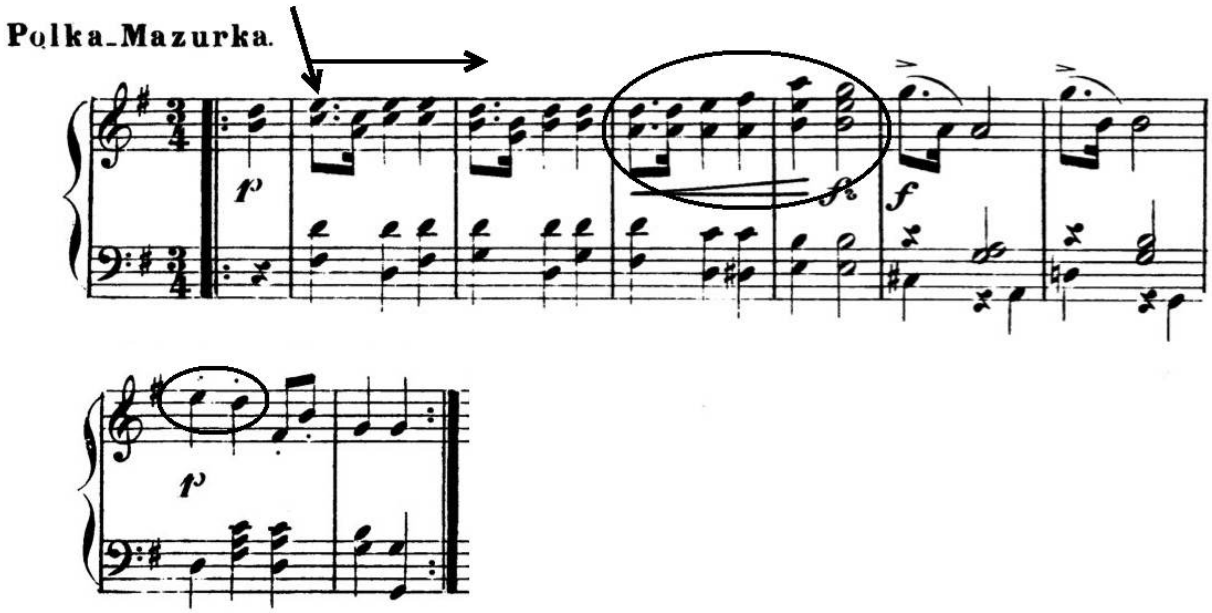
Johann Strauss, jr., *Hopser Polka*, op. 28 (1846?)



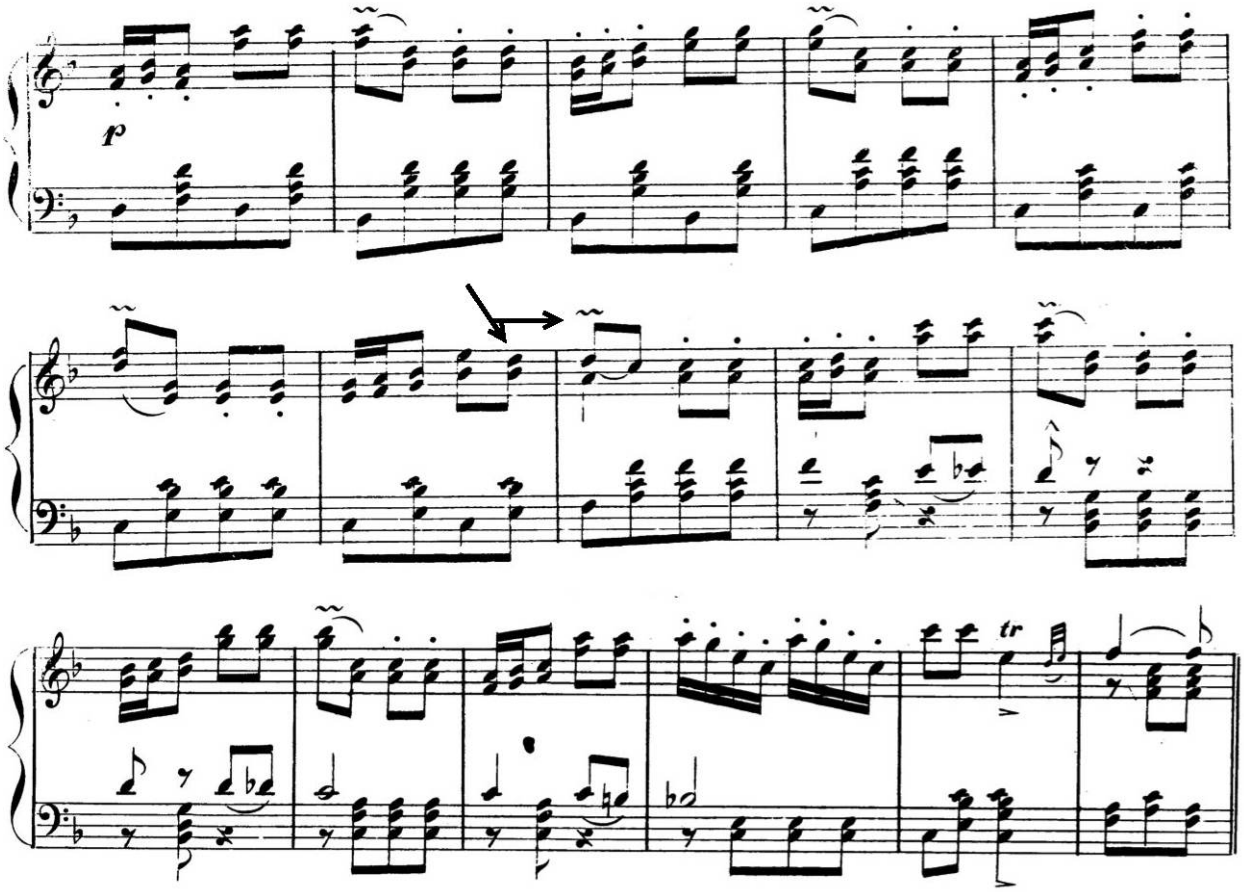
Johann Strauss, jr., Polka 'Auf freiem Fusse," Op. 345 (1871). See also my blog post about this polka: link.



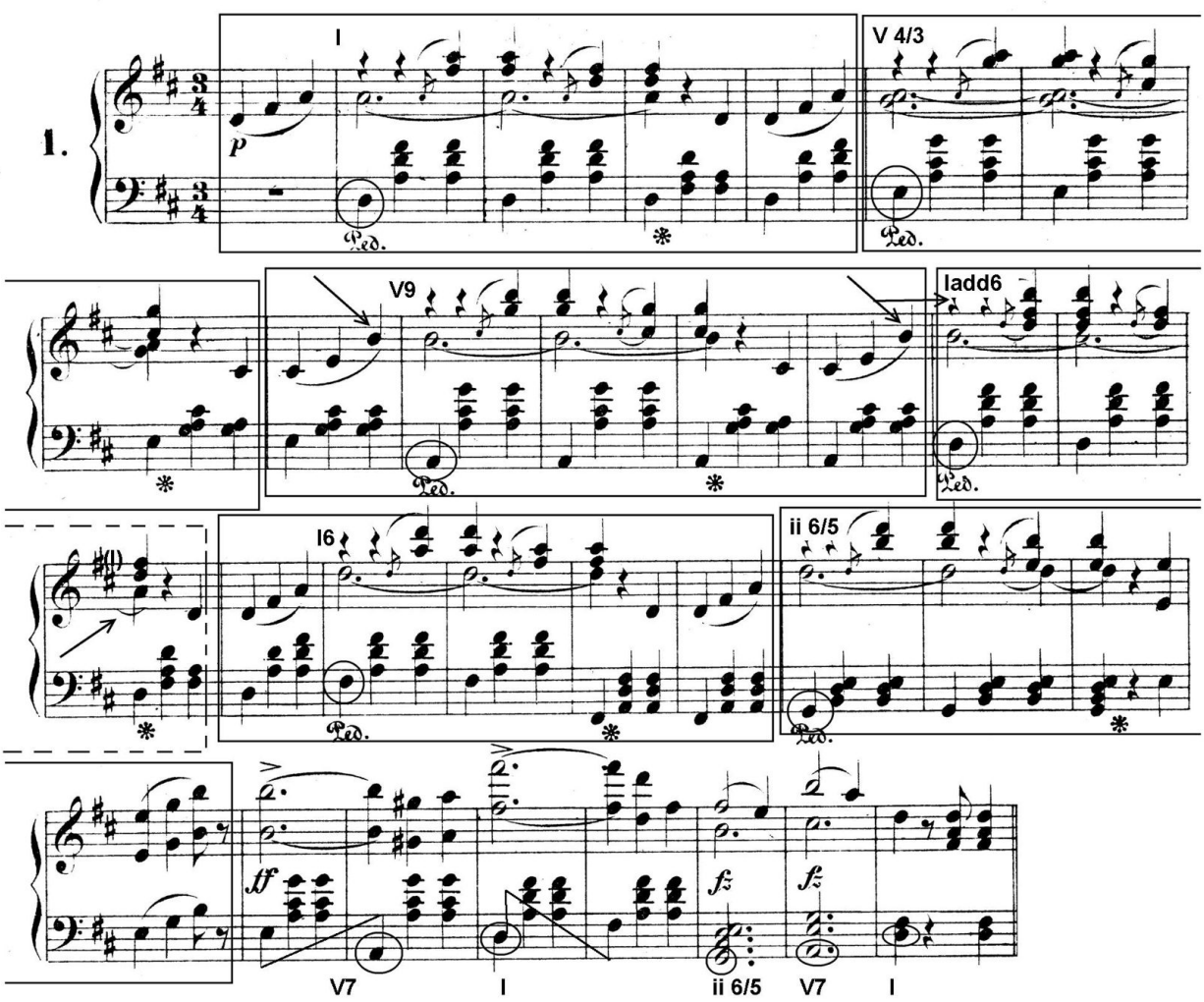
Johann Strauss, jr., *Champêtre*, polka-mazurka, op. 239 (1860)



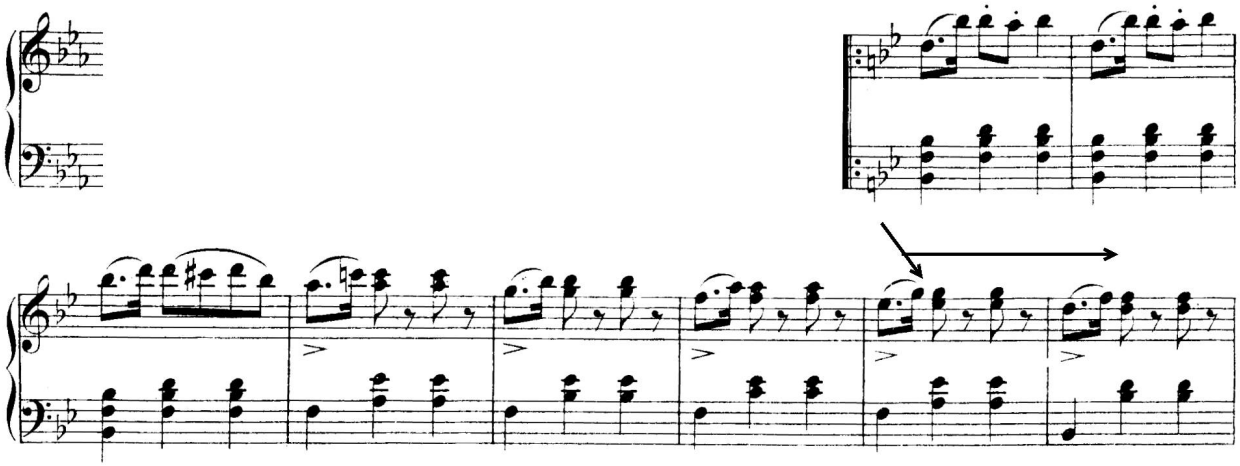
Johann Strauss, jr., *Hesperus polka*, op. 249 (1861)

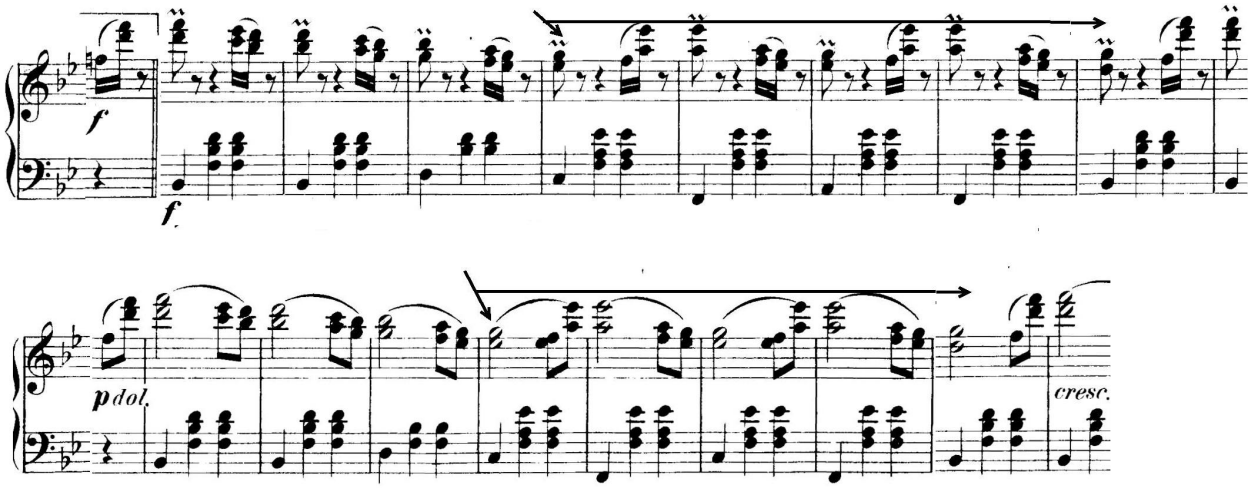


Johann Strauss, jr., *An der schönen blauen Donau*, op. 314



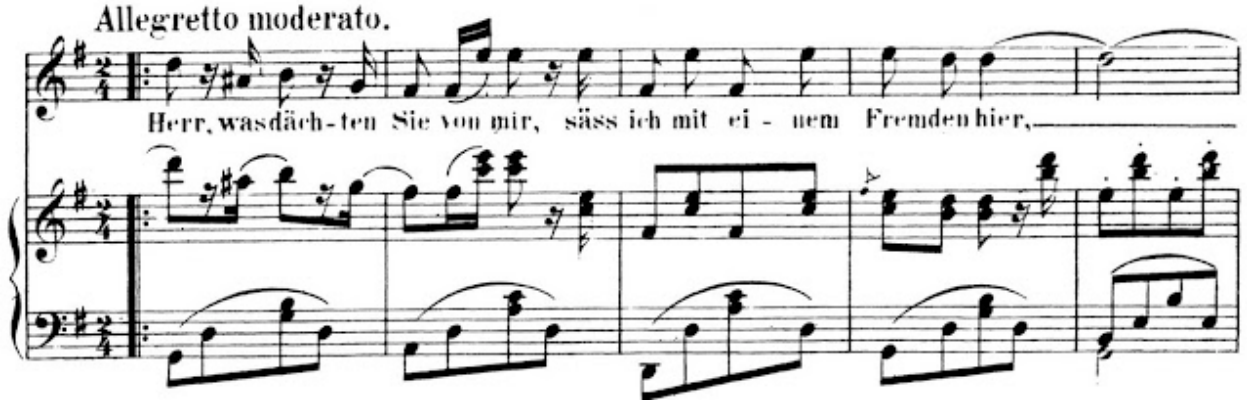
Johann Strauss, jr., *Geschichten aus dem Wiener-Wald*, op. 325



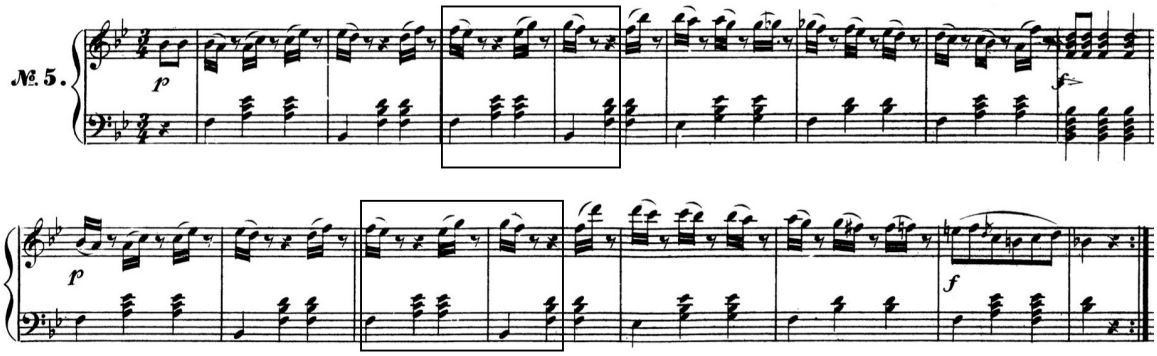


Strauss, *Die Fledermaus* n5, Act I Finale, "Herr, was dächten Sie von mir" (1874). See also my essay on this operetta: link.

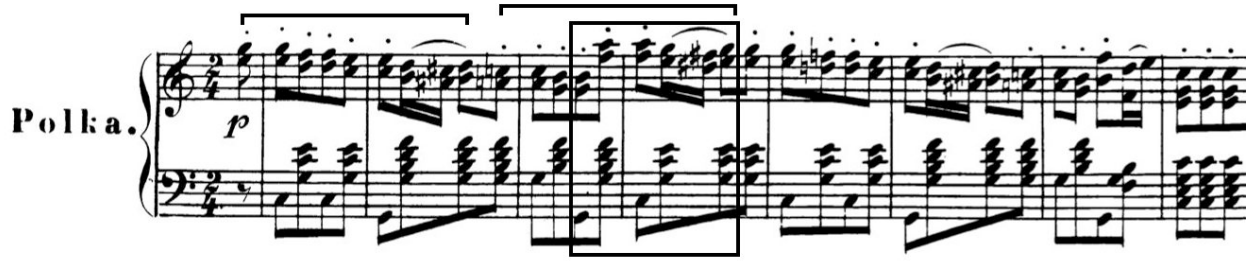
Alfred and Rosalinde's duo "Trinklied" is in the Act 1 finale. After it the jailor Frank enters and a comic szena ensues in which Alfred continues to sing phrases of the "Trinklied" while Frank attaches his own meaning to them. He mistakes Alfred for Rosalinde's husband Eisenstein, she realizes what is happening and, wanting to get rid of Alfred, claims he is in fact Eisenstein. Her strophic song "Mein Herr, was dächten Sie von mir" elaborates on this ruse ("How could you imagine I would be here with anyone other than my husband? Etc.). See the opening below. Strauss often uses polkas for happy moods, but sometimes for irony or, as here, for a series of comic double entendres. (The polka I am referring to is the original type from the 1840s, known in the second half of the 19th century as the *polka française*, or a slower tempo polka. The music of the *polka schnell*, in a fast tempo, is barely distinguishable from a galop.)



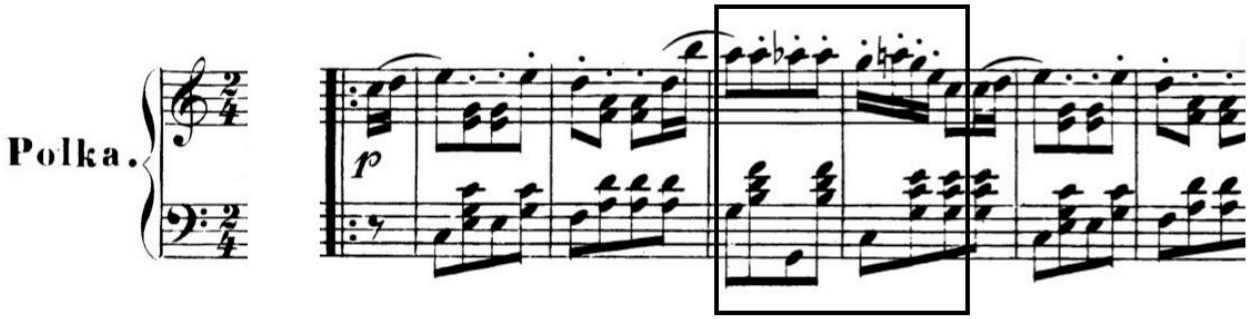
Johann Strauss, sr., *Die Adepten*, Op. 216 (1848)



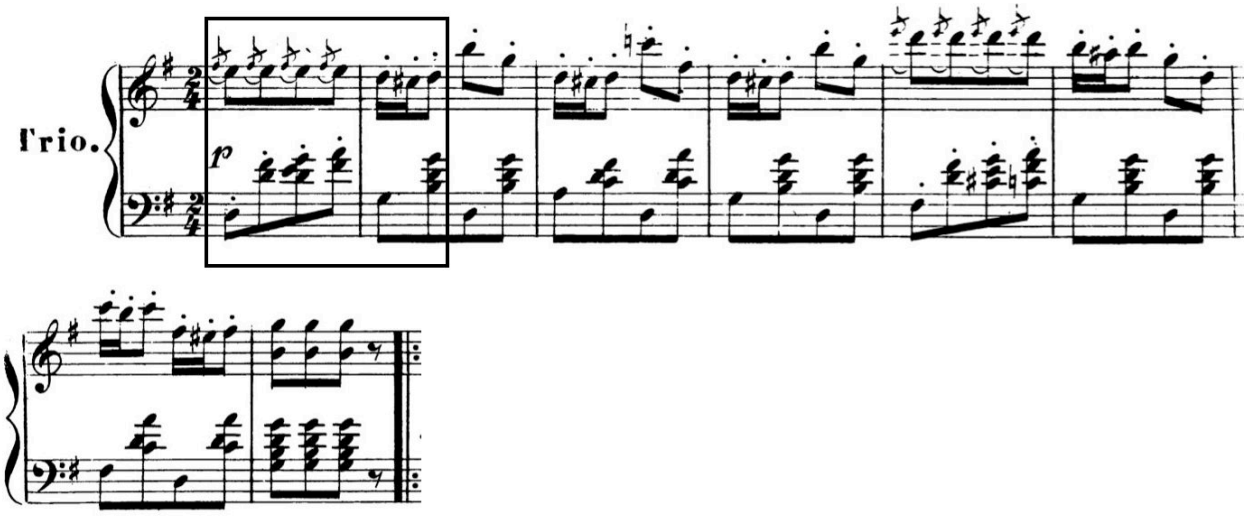
Johann Strauss, sr., *Wiener Kreuzer Polka*, op. 220 (1848)



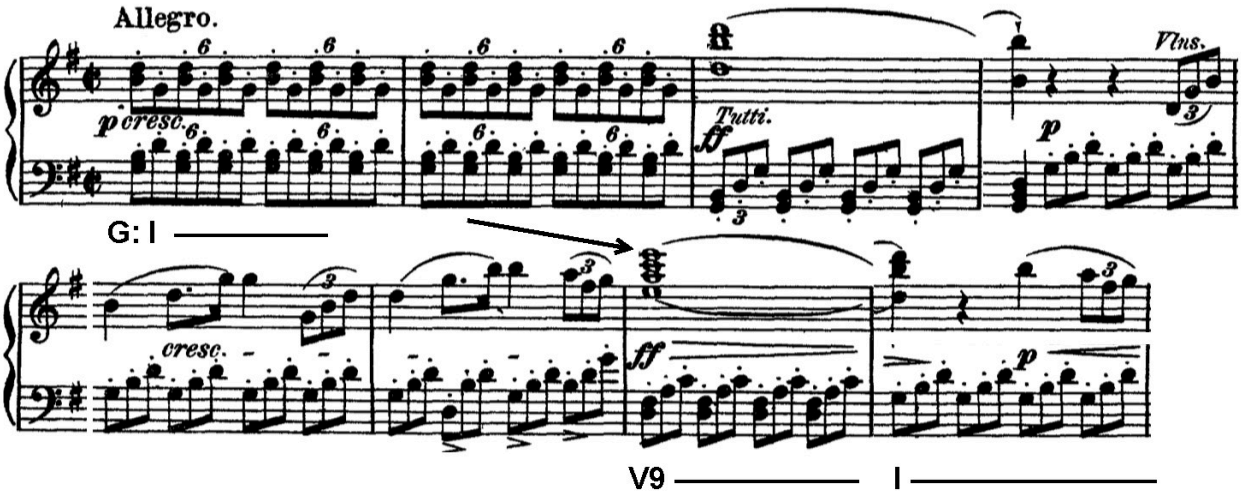
Johann Strauss, sr., *Damen Souvenir Polka*, op. 236 (1848)



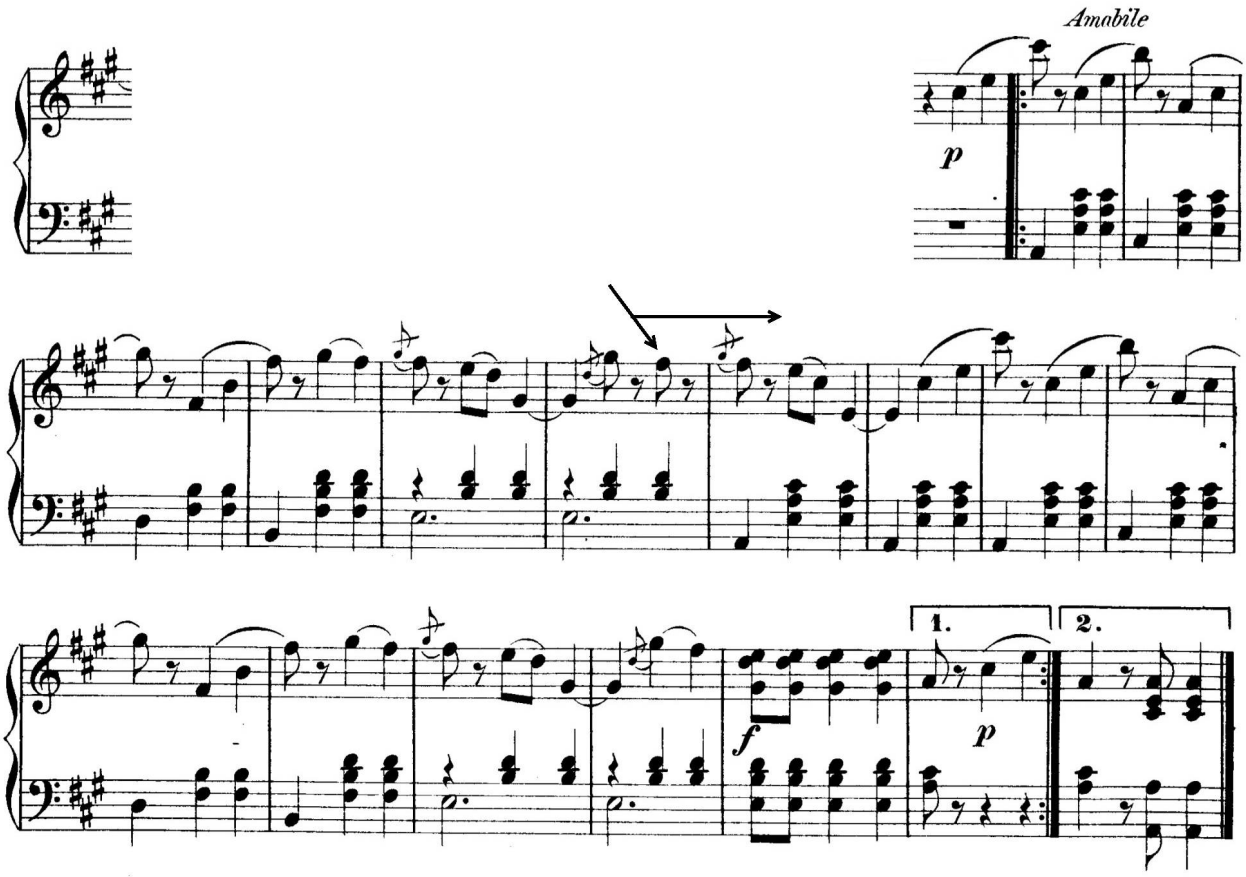
Johann Strauss, sr., *Exeter Polka*, op. 249 (1849)



Wagner, Tannhäuser, Prelude to Act II (1845; 1860-61)



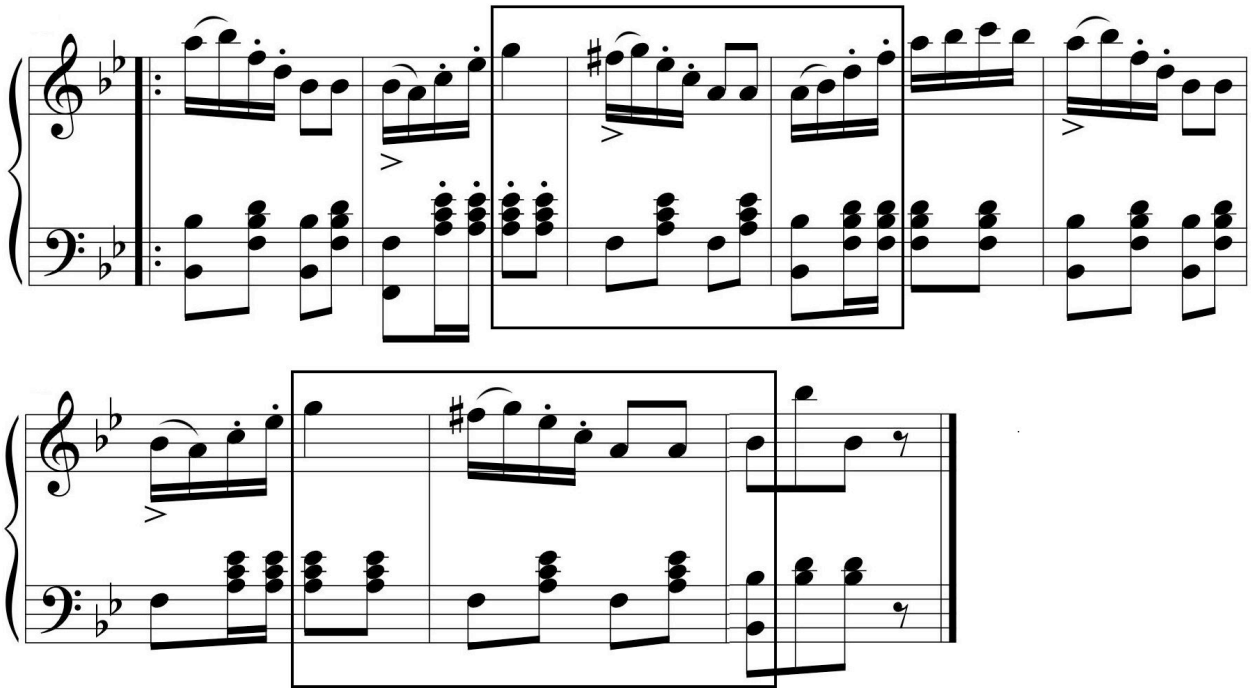
Waldteufel, *Myosotis*, op. 101n3 (c. 1865)



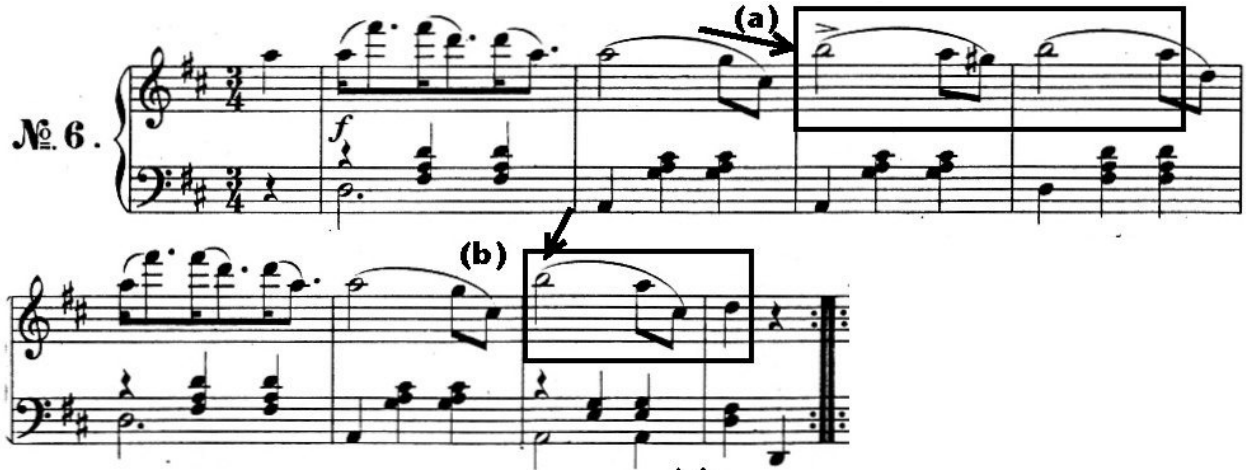
Part 2: Indirect resolution of the V9 harmony

Note: In Parts 1 & 2, I have only rarely included text annotations. Score excerpts are marked with arrows, boxes, or circles to identify relevant figures.

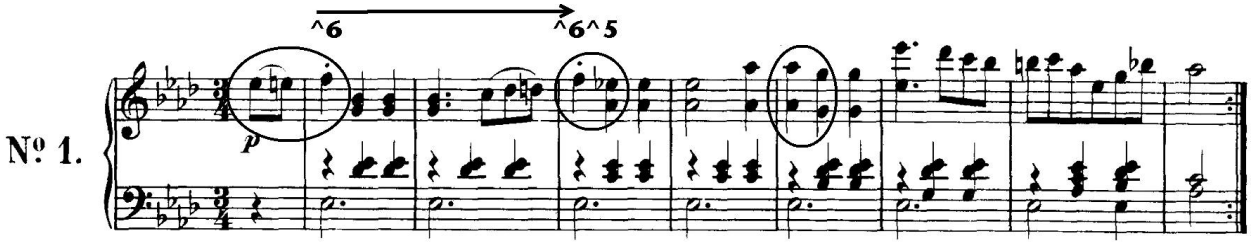
Allen Dodworth, *Very Best Polka* (1850)



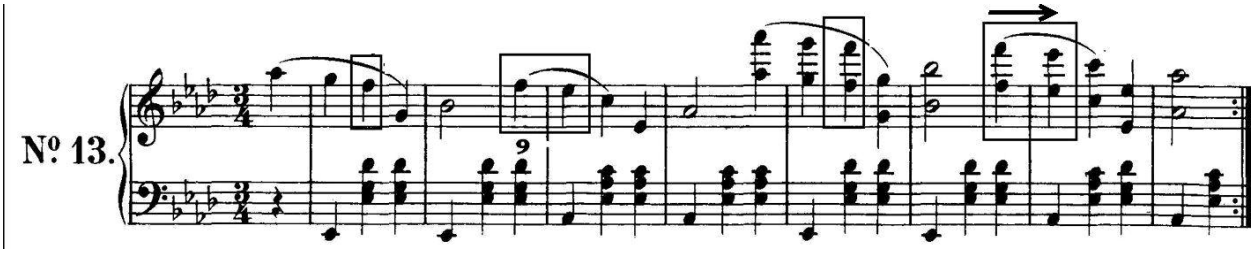
Josef Lanner, *Redout Carneval Tänze*, op. 42 (1830)



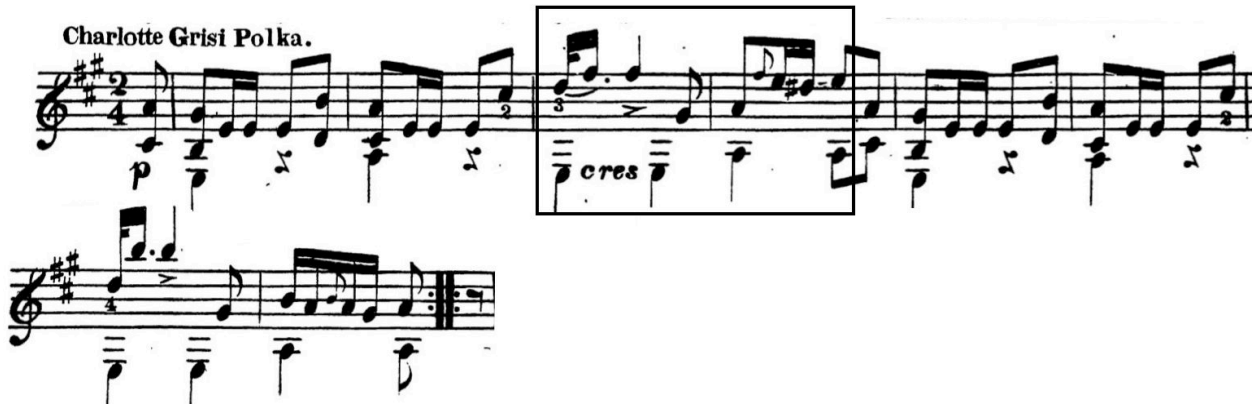
Schubert, Original-Tänze, D365n1 (1821)



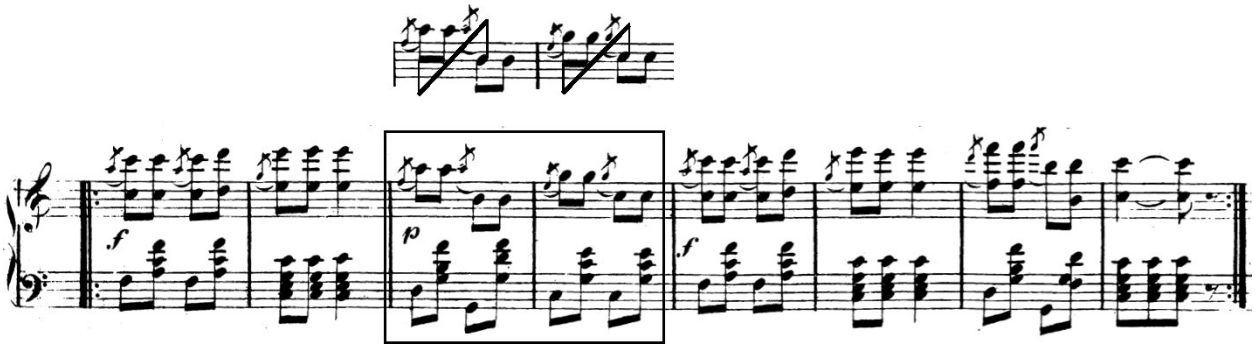
Schubert, Original-Tänze, D365n13



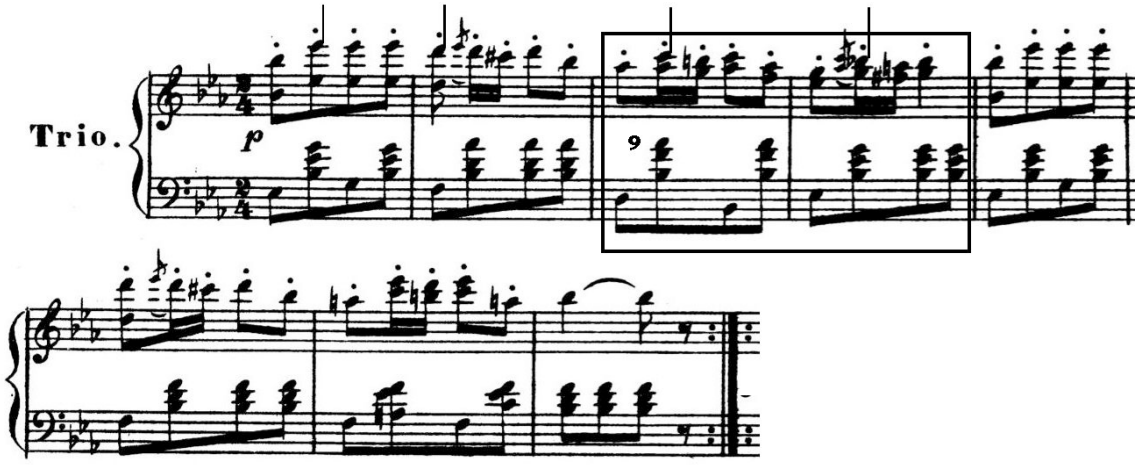
William Schubert, arr., *Charlotte Grist Polka* (Three Favorite Polkas, n1) (1845)



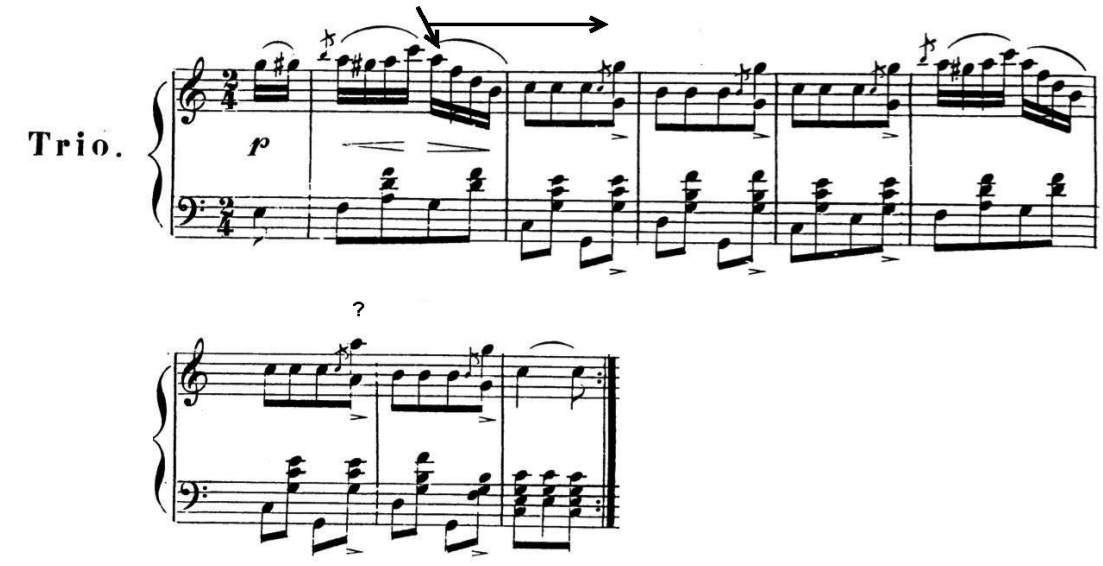
Johann Strauss, jr., *Jux Polka,* op. 17 (1845?)



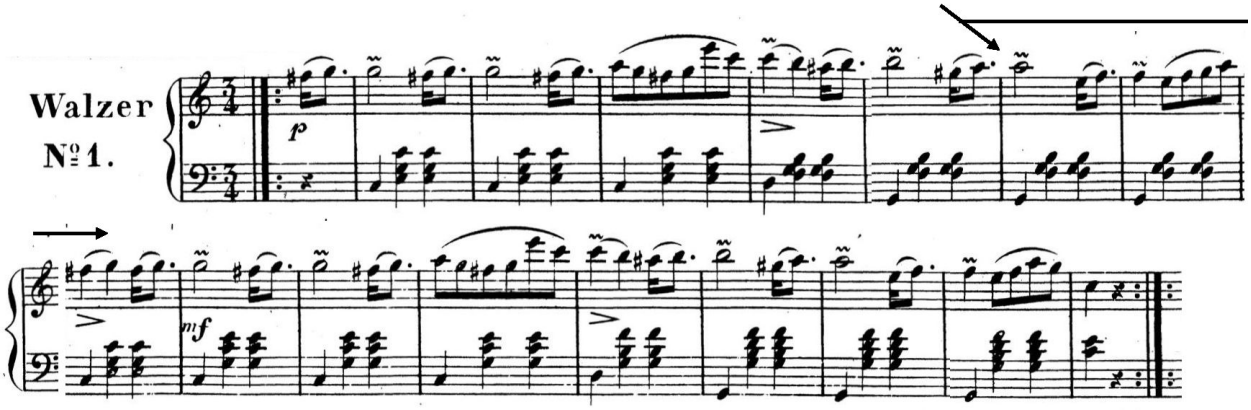
Johann Strauss, jr., *Fidelen Polka*, op. 26 (1846?)



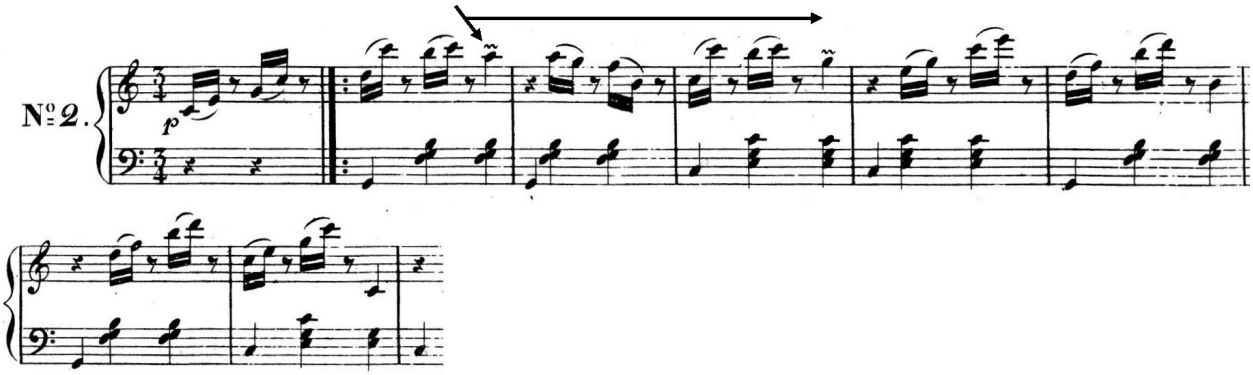
Johann Strauss, jr., *Demolirer Polka*, op. 269 (1849?)



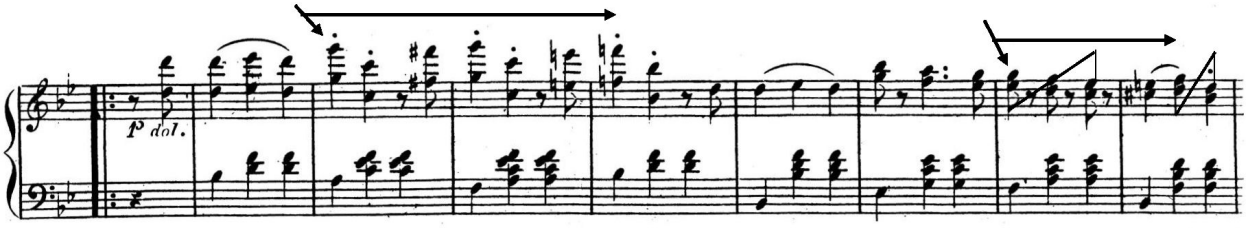
Johann Strauss, sr., "Heiter auch in ernster Zeit," op48n1 (1832)



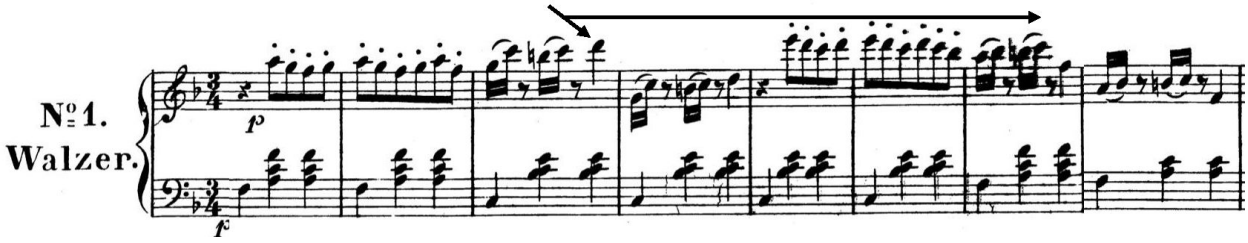
Johann Strauss, sr., "Heiter auch in ernster Zeit," op48n2 (1832)



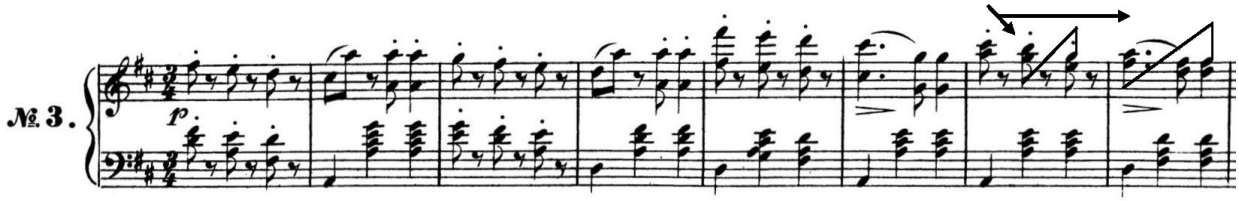
Johann Strauss, sr., *Rosa Walzer*, op. 76n4 (c. 1834)



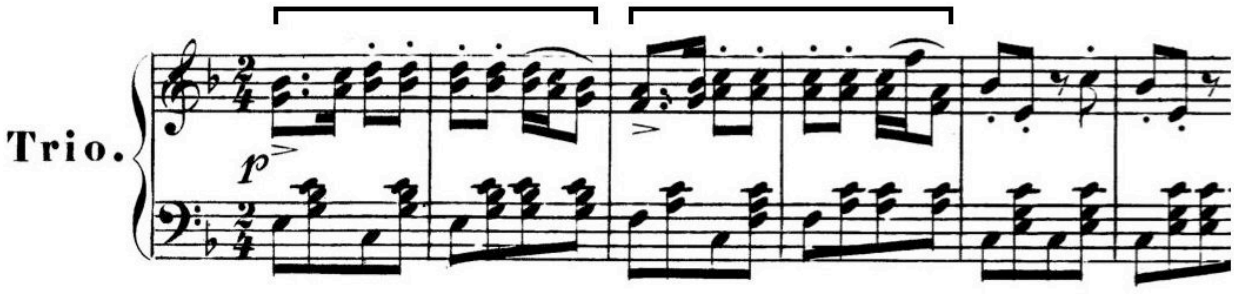
Johann Strauss, sr., *Rosen-Blätter*, op. 115n1 (1840)



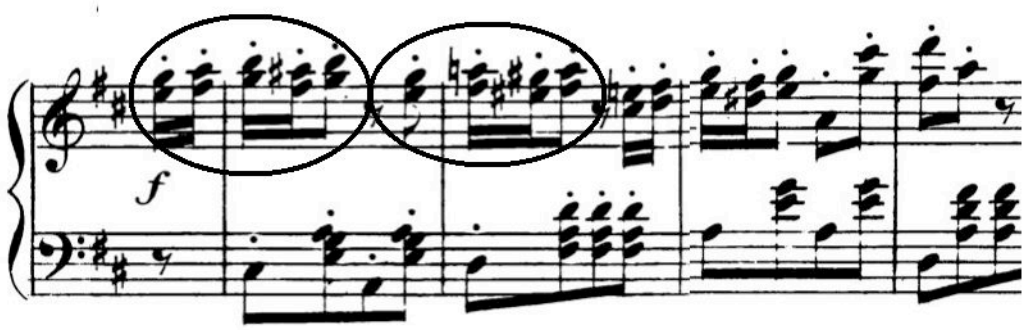
Johann Strauss, sr., *Die Schwalben*, op. 208n3 (1847)



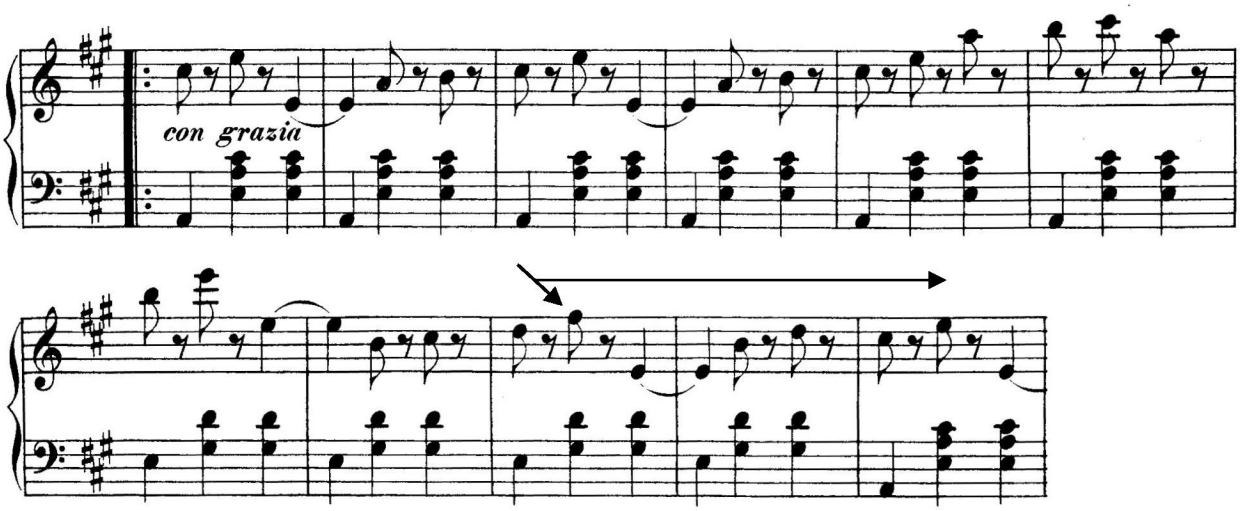
Johann Strauss, sr., *Damen Souvenir Polka*, op. 236 (1848)



Johann Strauss, sr., *Frederika Polka*, op. 239 (1848)

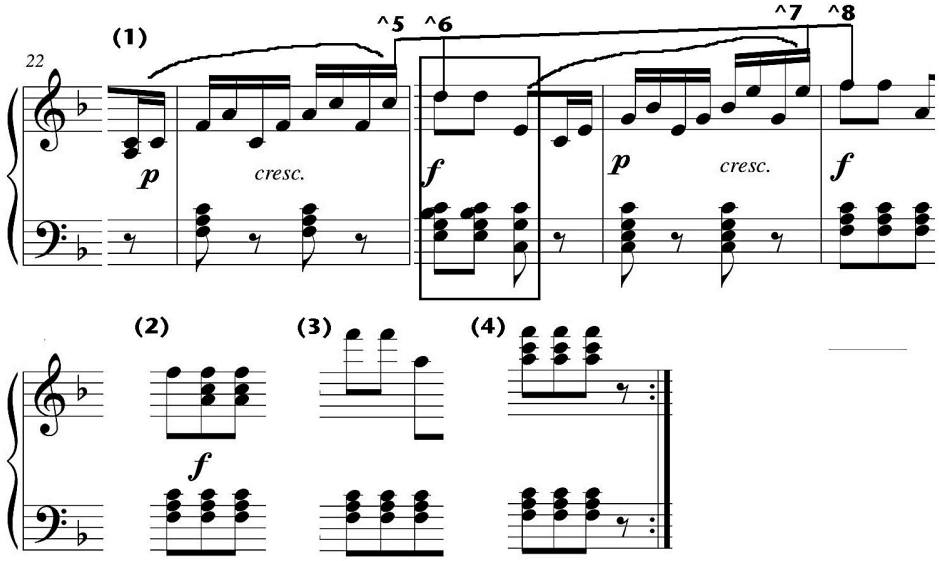


Emile Waldteufel, *Toujours ou Jamais*, op. 156n3 (1877)

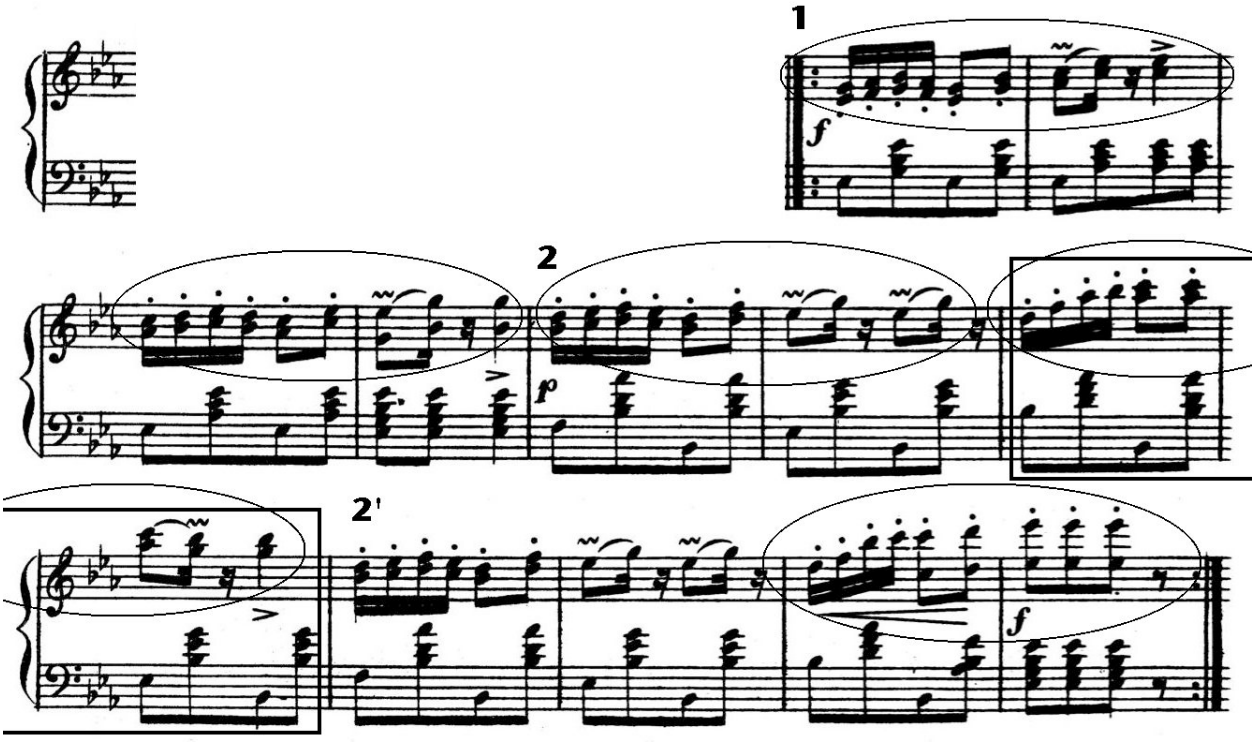


Part 3: Ascending figures from the ninth of the V9 harmony

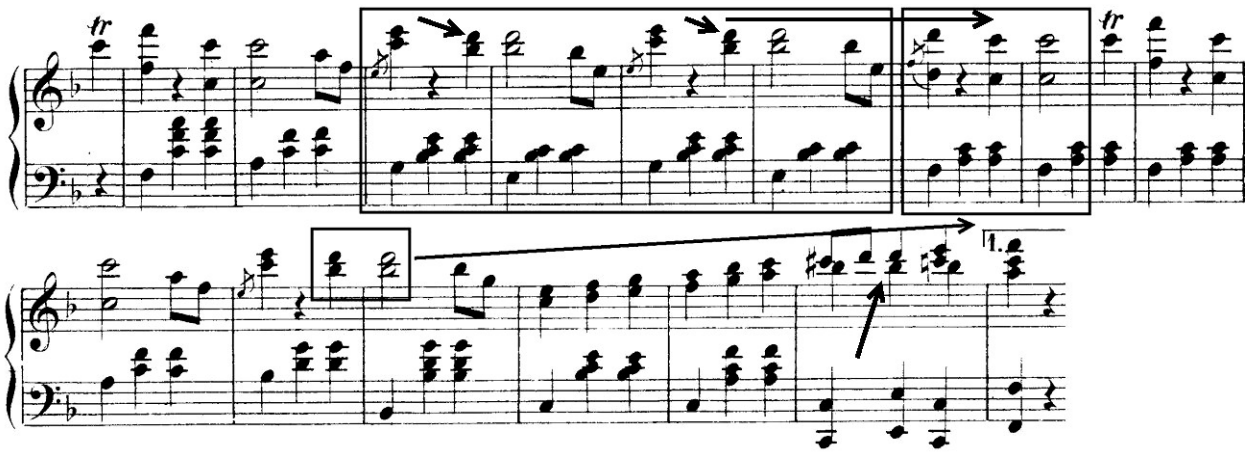
Allen Dodworth, arr., *Princess Helena's Polka* (1847)



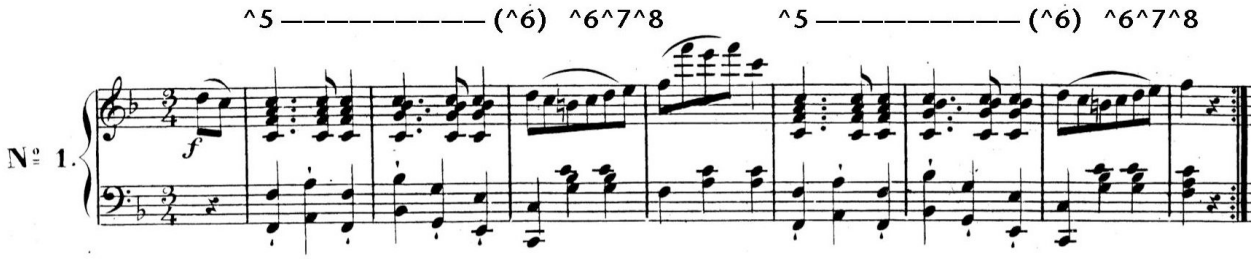
Johann Strauss, jr., *Fidelen Polka*, op. 26 (1846?)



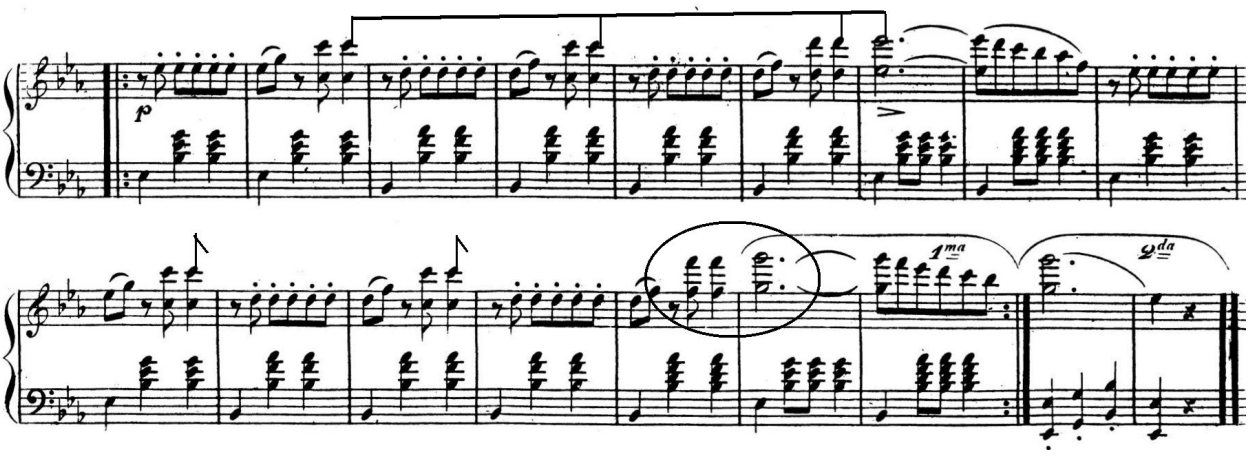
Johann Strauss, jr., *Künstlerleben*, op. 316n3 (1867)



Strauss, sr., *Josephstädter-Tänze*, op. 23 (1829)



Strauss, sr., *Rosa Walzer*, op. 76n5 (c. 1834)



For additional examples of ascending cadence gestures, a certain percentage of which involve ^6 and the dominant ninth harmony, see:

Neumeyer, David. 2017. A Gallery of Simple Examples of Extended Rising Melodic Shapes, Volume 2

This second installment of direct, cleanly formed rising lines offers examples from a variety of sources, ranging from a short early seventeenth century choral piece to Prokofiev's Classical Symphony, and from Scottish fiddle tunes to Victor Herbert operettas.

Neumeyer, David. 2017. A Gallery of Simple Examples of Extended Rising Melodic Shapes

Prevailing stereotypes of formal cadences and arch-shaped melodies were especially strong in the eighteenth century, but they did not prevent European musicians from occasionally introducing rising melodic figures into cadences and sometimes connecting those figures abstractly in lines with focal notes earlier in a composition. This essay presents a few of the most direct, cleanly formed examples.

Neumeyer, David. 2016. Scale Degree ^6 in the 19th Century: Ländler and Waltzes from Schubert to Herbert

Jeremy Day-O'Connell identifies three treatments of scale degree 6 in the major key through the nineteenth century: (1) classical ^6; (2) pastoral ^6; and (3) non-classical ^6. This essay makes further distinctions within these categories and documents them in the Ländler repertoire (roughly 1800-1850; especially Schubert) and in the waltz repertoire after 1850 (primarily the Strauss family). The final case study uses this information to explain some unusual dissonances in an operetta overture by Victor Herbert. Other composers include Michael Pamer, Josef Lanner, Theodor Lachner, Czerny, Brahms, Fauré, and Debussy.

Neumeyer, David. 2016. Ascending Cadence Gestures: A Historical Survey from the 16th to the Early 19th Century.

Cadences are formulaic gestures of closure and temporal articulation in music. Although in the minority, rising melodic figures have a long history in cadences in European music of all genres. This essay documents and analyzes characteristic instances of rising cadential lines from the late 16th century through the 1830s.

Neumeyer, David. 2015. Nineteenth-century polkas with rising melodic and cadence gestures: a new PDF essay.

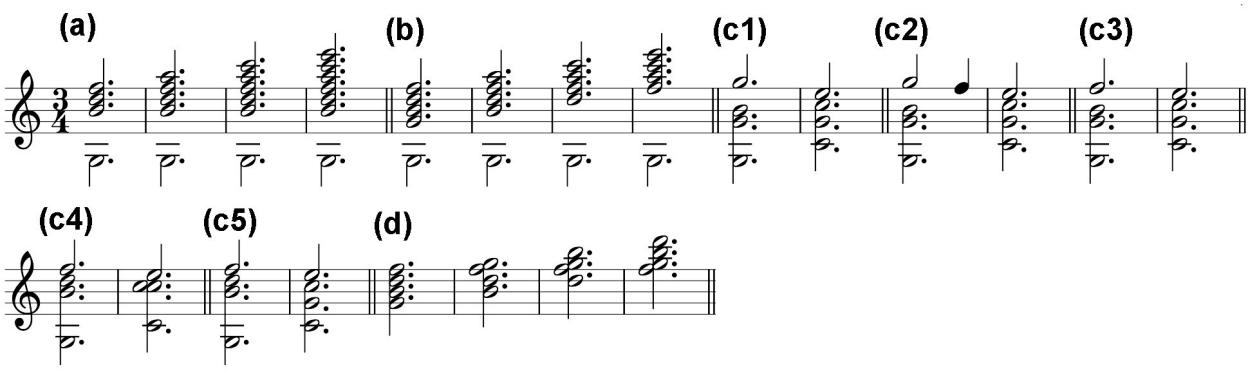
This essay provides background on dance in the nineteenth century and then focuses on characteristic figures in the polka, especially those linked to rising cadence gestures. The polka became a popular social dance very quickly in the early 1840s. Its music was the first to introduce rising melodic frames and cadence gestures as common features. This essay provides a series of examples with commentary. Most pieces come from the 1840s and early 1850s. Variants of the polka—polka-mazurka, polka française, and polka schnell—are also discussed and illustrated.

Part 4: The dominant seventh, ninth, eleventh, and thirteenth

At (a) in Example 1 below: "extended tertian chords" above a dominant bass in C major. At (b), some common voicings of these chords. From this it is already clear that "extended tertian" is a poor term, as the chords are not voiced entire, as a stack of thirds; in the 11th and 13th some intermediate notes are dropped, which suggests a different derivation for those chords.

At (c1) – (c3): the historical derivation of the V7 chord from a passing tone (this was accomplished in the course of the 17th century, in part due to new figures of melodic expression, in part to pressure from figured bass practice and its pedagogy). At (c4), the complete V7 chord that was lacking in (c3) is corrected, but at the expense of an incomplete tonic. At (c5), the typical "kludge" in four voices that drops the leading tone to the fifth scale degree in order to have a complete tonic triad. At (d), the inversions of the V7 chord.

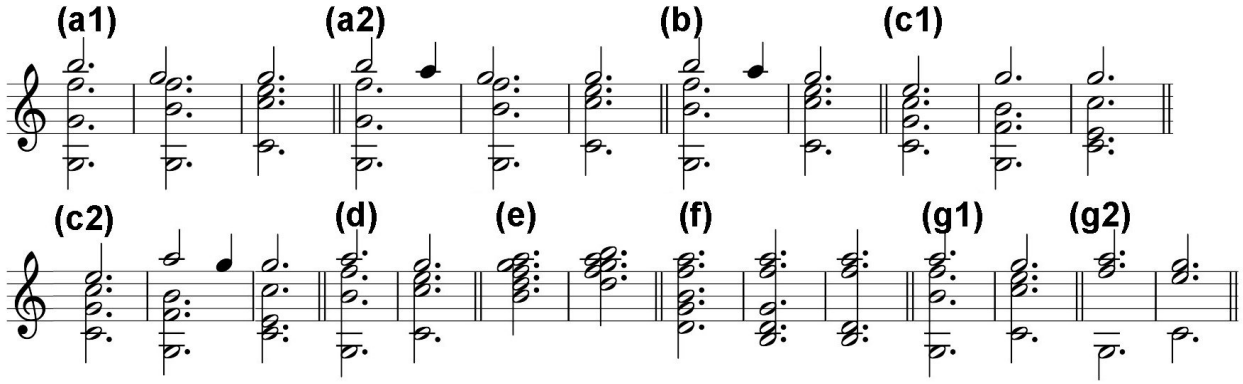
Example 1:



At (a1), (a2), and (b) in Example 2 below: a derivation of the dominant ninth parallel to that for the seventh chord shown in Example 1, (c1) – (c3) above. Although this figure does occur in the first half of the 19th century, the derivation at (c1) – (d) in Example 2 is equally correct based on historical practices where ^6 over the dominant is treated as an appoggiatura/incomplete neighbor note. Indeed, this second derivation will be more commonly found in music of the period.

At (e), two inversions, neither of which is very satisfactory. In the first case, the loss of the root G as bass creates an odd cluster F5-G5-A5, such that one can more easily hear this as a colored version of the viiø7 chord (bass and root B4). In the second case, the situation only becomes worse with the four-note cluster. At (f), it is clear that, unlike the V7 chord, the V9 is limited in its inversion possibilities, and they rely heavily on voicings. In all three cases at (f), registral separation of the triadic and non-triadic elements

Example 2:



makes all the difference (the only instance of an inverted V9 in this essay was in MacDowell's "To a Wild Rose"). Note, however, that the first inversion (f, second case) needs careful definition if it is not to be heard as or turn into the viiø7 (f, third case), a chord that was already familiar in the early 18th century.

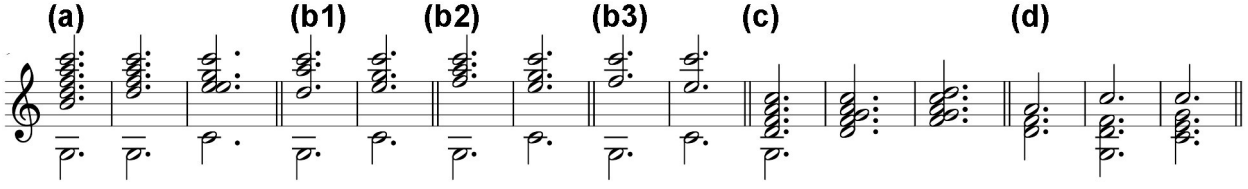
At (g1), the figure (d) is repeated. Compare with (g2), which shows that the V9 chord can be successfully defined with as few as three voices.

At (a) in Example 3 below, the first case is the hypothetical but unusable V11 from earlier; the eleventh C6 substitutes for (or displaces) the leading tone (here, B5); removing B5, then, gives the second case and its tonic resolution. In this requirement for substitution rather than addition, the V11 is like the V13—both are derived differently than are the V7 and V9 chords.

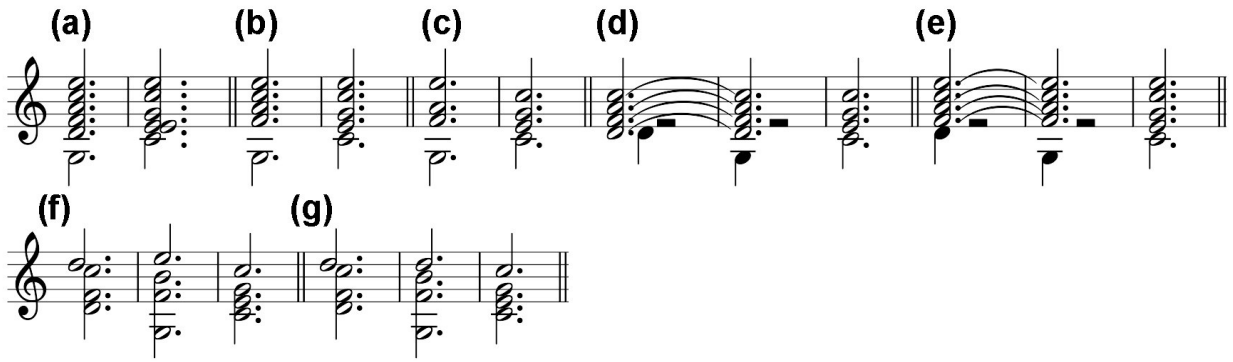
The V11 contains three perfect fifths—G3-D5, D5-A5, and F5-C6—and therefore requires careful attention in traditional voice-leading situations. Two common four-voice solutions are shown in (b1) and (b2). Surprisingly, the V11 chord can still be successfully realized in three voices, as at (b3). Because of its several fifths, the V11 cannot be inverted without evoking different chords and chord roots—as a D minor minor seventh chord in the second case at (c), or as an F major add6 in the third case.

A common cadence after about 1860 shows the substitution plainly: at (d) is what Jeremy Day-O'Connell calls a ^6-^8 cadence (see citation in the introduction above).

Example 3:



The V13 as a full set of stacked thirds would produce the absurd situation where all seven major-scale notes are present. Even with the deletion of the third B3, as in the V11 chord, there are still six chord tones, and although not impossible in musical practice—as at (a) in Example 4 below—the historical derivation was from substitution, so at (b) D4 is also deleted because E5 has replaced it. Note that the voice leading of this five-note chord is very easily managed. The four-voice version at (c) plainly shows the substitution, as do (f) and (g).

At (d) and (e), note that the upper-voice elements in the subdominant (S) and dominant (D) chords of a full harmonic cadence can blend into each other when the V11 or V13 is used.

Example 4: